EXHIBIT T

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| | UNIFORM APPLICATIO | N FOR INVESTMENT | ADVISER REGISTRATION | AND REPORT BY EXEMPT REPORTIN | G ADVISERS |
|------|---|--|---|--|---------------------|
| Prir | nary Business Name: TREMBI | LANT CAPITAL GROUP | | CF | RD Number: 138743 |
| Oth | er-Than-Annual Amendment | - All Sections | | | Rev. 10/2012 |
| 10/ | 16/2015 12:41:09 PM | | | | |
| W | · | • | _ | I of your application, revocation of your regisee Form ADV General Instruction 4. | ration, or criminal |
| Ite | n 1 Identifying Information | | | | |
| Res | sponses to this Item tell us wh | o you are, where you are | e doing business, and how we can | contact you. | |
| A. | Your full legal name (if you at TREMBLANT CAPITAL LP | re a sole proprietor, your | last, first, and middle names): | | |
| B. | Name under which you prima | | y business, if different from Item 1 | A.: | |
| | List on Section 1.B. of Schedu | le D any additional names | under which you conduct your adv | sory business. | |
| C. | If this filing is reporting a chaname change is of ☐ your legal name or ☐ your | | | ne (Item 1.B.), enter the new name and spec | fy whether the |
| D. | (1) If you are registered with (2) If you report to the SEC a | | nt adviser, your SEC file number: i | 301-71560 | |
| E. | If you have a number ("CRD | Number") assigned by th | e <i>FINRA's CRD</i> system or by the IA | RD system, your <i>CRD</i> number: 138743 | |
| | If your firm does not have a C | RD number, skip this Item | 1.E. Do not provide the CRD numb | er of one of your officers, employees, or affiliate | S. |
| F. | Principal Office and Place of Bu | ısiness | | | |
| | (1) Address (do not use a P. Number and Street 1: 767 FIFTH AVENUE | O. Box): | Number and Street 2: FLOOR 12A | | |
| | City: NEW YORK | State: New York | Country: United States | ZIP+4/Postal Code: 10153 | |
| | If this address is a privat | te residence, check this b | ox: 🗆 | | |
| | you are applying for regis which you are applying fo | tration, or are registered, r registration or with whom | with one or more state securities a m you are registered. If you are app | of business, at which you conduct investment a uthorities, you must list all of your offices in the lying for SEC registration, if you are registered of es in terms of numbers of employees. | state or states to |
| | (2) Days of week that you not Monday - Friday Otl | • | at your <i>principal office and place o</i> | f business: | |
| | Normal business hours a 8:30AM TO 5:30PM (3) Telephone number at thi | | | | |
| | 212-303-7373 (4) Facsimile number at this 212-303-7378 | | | | |
| G. | Mailing address, if different fr | om your <i>principal office a</i> | nd place of business address: | | |
| | Number and Street 1: | | Number and Street 2: | | |
| | City: | State: | Country: | ZIP+4/Postal Code: | |
| | If this address is a private re | esidence, check this box: | | | |
| Н. | If you are a sole proprietor, s | state your full residence a | address, if different from your <i>prin</i> | cipal office and place of business address in Iter | n 1.F.: |
| | Number and Street 1: | _ | Number and Street 2: | | |
| | City: | State: | Country: | ZIP+4/Postal Code: | |

If "yes," list all websit Cases is 15 salto 0041 TcheAlk D. DO CHINO Dicks I leve iled plate 15/14/15 what case of 7/4 information you have published on the web, you may list the portal without listing addresses for all of the other information. Some advisers may need to list more than one portal address. Do not provide individual electronic mail (e-mail) addresses in response to this Item. Provide the name and contact information of your Chief Compliance Officer: If you are an exempt reporting adviser, you must provide the contact information for your Chief Compliance Officer, if you have one. If not, you must complete Item 1.K. below. Other titles, if any: Name: Facsimile number: Telephone number: Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code: Electronic mail (e-mail) address, if Chief Compliance Officer has one: Additional Regulatory Contact Person: If a person other than the Chief Compliance Officer is authorized to receive information and respond to questions about this Form ADV, you may provide that information here. Titles: Facsimile number: Telephone number: Number and Street 1: Number and Street 2: City: Country: ZIP+4/Postal Code: State: Electronic mail (e-mail) address, if contact person has one: Yes No Do you maintain some or all of the books and records you are required to keep under Section 204 of the Advisers Act, or similar state law, somewhere other than your principal office and place of business? If "yes," complete Section 1.L. of Schedule D. Yes No Are you registered with a foreign financial regulatory authority? \circ • Answer "no" if you are not registered with a foreign financial regulatory authority, even if you have an affiliate that is registered with a foreign financial regulatory authority. If "yes," complete Section 1.M. of Schedule D. Yes No Are you a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934? If "yes," provide your CIK number (Central Index Key number that the SEC assigns to each public reporting company): Yes No O. Did you have \$1 billion or more in assets on the last day of your most recent fiscal year? Provide your Legal Entity Identifier if you have one: RTED6KSZBILVT7M4SQ46 A legal entity identifier is a unique number that companies use to identify each other in the financial marketplace. In the first half of 2011, the legal entity identifier standard was still in development. You may not have a legal entity identifier. **SECTION 1.B. Other Business Names** No Information Filed **SECTION 1.F. Other Offices** Complete the following information for each office, other than your principal office and place of business, at which you conduct investment advisory business. You must complete a separate Schedule D Section 1.F. for each location. If you are applying for SEC registration, if you are registered only with the SEC, or if you are an exempt reporting adviser, list only the largest five offices (in terms of numbers of employees). Number and Street 1: Number and Street 2: 6 BENEDICT PLACE City: Country: ZIP+4/Postal Code: State: **GREENWICH** Connecticut **United States** 06853 If this address is a private residence, check this box:

Telephone Number: 212-303-7373

Facsimile Number:

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| SECTION 1.I. Website Addresses | | | |
|---|-------------------------------------|------------------------------------|--|
| List your website addresses. You must comp | olete a separate Schedule D | Section 1.I. for each websi | te address. |
| Website Address: HTTP://WWW.TREMBLAI | NTCAPITAL.COM | | |
| SECTION 1.L. Location of Books and Record | ls | | |
| Complete the following information for each must complete a separate Schedule D Section | | your books and records, oth | ner than your <i>principal office and place of business</i> . You |
| Name of entity where books and records are CITCO (CANADA) INC. | e kept: | | |
| Number and Street 1: 2 BLOOR STREET EAST | | Number and Street 2: SUITE 2700 | |
| City: TORONTO | State: | Country: Canada | ZIP+4/Postal Code: M4W 1A8 |
| If this address is a private residence, check | this box: | | |
| Telephone Number: 416 969 6700 | Facsimile numb 416 966 0925 | per: | |
| This is (check one): O one of your branch offices or affiliates. | | | |
| $_{\odot}$ a third-party unaffiliated recordkeeper. | | | |
| O other. | | | |
| | ADA) INC. MAINTAINS CERTA | | 6 REQUIRED BY RULE 204-2 UNDER THE INVESTMENT ENTATION, AND DOCUMENTATION RELATING TO AML |
| Name of entity where books and records are CITCO FUND SERVICES (USA) INC. | e kept: | | |
| Number and Street 1: 201 SOUTH COLLEGE STREET | | Number and Street 18TH FLOOR | 2: |
| City: CHARLOTTE | State: North Carolina | Country: United States | ZIP+4/Postal Code: 28244 |
| If this address is a private residence, check | this box: | | |
| Telephone Number: +1 980 233 650 | Facsimile number: +1 980 233 650 | | |
| This is (check one): O one of your branch offices or affiliates. | | | |
| \odot a third-party unaffiliated recordkeeper. | | | |
| C other. | | | |
| Briefly describe the books and records kept AS FUND SUB-ADMINISTRATOR, CITCO FUND | | TAINS CERTAIN BOOKS AND | RECORDS AS REQUIRED BY RULE 204-2 UNDER THE |

INVESTMENT ADVISERS ACT OF 1940, INCLUDING DOCUMENTS PERTAINING TO MIDDLE OFFICE AND ACCOUNTING SUPPORT; PORTFOLIO RECONCILIATION AND NET ASSET VALUE CALCULATION.

| SECT | ION | 1 1.M | . Registration with Foreign F | NG-RIGA | LZūlaAK Authoritiement | 3-21 | Filed 12/23/15 | Pag | e 5 of 74 |
|---|--------------------------------------|--|--|--|---|--|--|---------------------------------------|--|
| | | | | | No Informat | ion Filed | | | |
| | | | | | | | | | |
| Item | 2 S | EC R | egistration/Reporting | | | | | | |
| | | | this Item help us (and you) don or submitting an <i>annual up</i> | | | - | ith the SEC. Complete | this Ite | em 2.A. only if you are applying for |
| A. To register (or remain registered) with the SEC, you must check at least one of the Items 2.A.(1) through 2.A.(12), below. If you are submittin annual updating amendment to your SEC registration and you are no longer eligible to register with the SEC, check Item 2.A.(13). Part 1A Instruprovides information to help you determine whether you may affirmatively respond to each of these items. You (the adviser): | | | | | | | | | |
| | V | (1) | are a large advisory firm th | at either: | | | | | |
| | | | (a) has regulatory assets und | er manag | gement of \$100 million (in U. | S. dollars | or more, or | | |
| | | | (b) has regulatory assets und amendment and is registed | | | . dollars) | or more at the time of | filing it | ts most recent <i>annual updating</i> |
| | | (2) | are a mid-sized advisory fir (in U.S. dollars) and you are | | ns regulatory assets under m | nanageme | nt of \$25 million (in U. | S. dolla | ars) or more but less than \$100 million |
| | | | (a) not required to be registed of business, or | ered as ai | n adviser with the <i>state secu</i> | ırities auth | ority of the state wher | e you ı | maintain your <i>principal office and place</i> |
| | | | (b) not subject to examination | n by the | state securities authority of t | he state v | here you maintain yo | ur <i>prin</i> d | cipal office and place of business; |
| | | | Click HERE for a list of sta authority. | tes in whi | ch an investment adviser, if r | egistered, | would not be subject to | exami | ination by the state securities |
| | | (3) | have your principal office and | place of b | usiness in Wyoming (which | does not r | egulate advisers); | | |
| | | (4) | have your principal office and | place of b | usiness outside the United S | states; | | | |
| | | (5) | are an investment adviser (| or sub-ac | dviser) to an investment co | mpany re | gistered under the Inv | estmer | nt Company Act of 1940; |
| | | | | | | | | | |
| | | (7) | are a pension consultant with in rule 203A-2(a); | h respect | to assets of plans having a | n aggrega | te value of at least \$2 | 00,000 | 0,000 that qualifies for the exemption |
| | | (8) | are a related adviser under registered with the SEC, and | | | - | | | , an investment adviser that is er; |
| | | | If you check this box, complet | e Section . | 2.A.(8) of Schedule D. | | | | |
| | | (9) | are a newly formed adviser | relying o | n rule 203A-2(c) because yo | u expect t | o be eligible for SEC re | egistrat | ion within 120 days; |
| | | | If you check this box, complet | e Section . | 2.A.(9) of Schedule D. | | | | |
| | | (10) | are a multi-state adviser that | ıt is requi | ired to register in 15 or more | e states ar | nd is relying on rule 20 | 3A-2(d |); |
| | | | If you check this box, complet | e Section . | 2.A.(10) of Schedule D. | | | | |
| | | (11) | are an Internet adviser rely | ng on rule | e 203A-2(e); | | | | |
| | | (12) | have received an SEC order | exemptir | ng you from the prohibition a | igainst red | istration with the SEC | ; | |
| | | , , | If you check this box, complet | | | | • | | |
| | | (13) | are no longer eligible to rem | | | | | | |
| | | | | | | | - | | |
| | | | ties Authority Notice Filings | | | _ | | f +b o F | form ADV and any amondments they |
| C. | file of re to re add the | with eport eceiv itiona SEC. | the SEC. These are called <i>noti</i> s and any amendments they f e notice of this and all subsequal state(s), check the box(es) | ce filings. le with th uent filing next to th | In addition, exempt reporting the SEC. If this is an initial apgs or reports you submit to the state(s) that you would like | <i>advisers</i> in advisers in plication of the SEC. If the terminate in advantage in advisers in | may be required to pro or report, check the bo this is an amendment we notice of this and a | ovide <i>si</i> x(es) n to dire | form ADV and any amendments they tate securities authorities with a copy next to the state(s) that you would like ect your notice filings or reports to equent filings or reports you submit to at currently receive them, uncheck the |
| | lur | isdic | ions | | | | | | |
| | _ | AL | | □ ID | | П мо | | | □ РА |
| | | AK | | | | □ MT | | | □ PR |
| | | AZ | | □ IN | | □ NE | | | □ RI |

| L AR | L IA | L NV | L SC | | | | | | |
|--|---|--|---|--|--|--|--|--|--|
| □ CA Case 1:15-r | nE-00417-LAK Document | 3 -21 Filed 12/23/15 Pag | € 6 ⁵ 0f 74 | | | | | | |
| Со | □ KY | □ NJ | □ _{TN} | | | | | | |
| ☑ CT | □ LA | □ NM | □ _{TX} | | | | | | |
| □ DE | □ ME | □ NY | □ UT | | | | | | |
| □ DC | □ _{MD} | □ NC | □ v _T | | | | | | |
| □ FL | □ MA | □ _{ND} | □ vi | | | | | | |
| □ GA | □ MI | □ он | □ VA | | | | | | |
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| | | | VVI | | | | | | |
| | | going to a state that currently receives is the filed before the end of the year (De | | | | | | | |
| SECTION 2.A.(8) Related Adviser | | | | | | | | | |
| If you are relying on the exemption in rule with an investment adviser that is register the following information: Name of Registered Investment Adviser | | 3 | | | | | | | |
| CRD Number of Registered Investment Adv | iser | | | | | | | | |
| SEC Number of Registered Investment Adviser 801 - | | | | | | | | | |
| SECTION 2.A.(9) Newly Formed Adviser | | | | | | | | | |
| If you are relying on rule 203A-2(c), the ner representations about your eligibility for S representations. You must make both of the I am not registered or required to be register with the SEC within 120 days a I undertake to withdraw from SEC register 203A(a) of the Advisers Act from register. | EC registration. By checking the appronese representations: registered with the SEC or a <i>state secur</i> fter the date my registration with the tration if, on the 120th day after my re | priate boxes, you will be deemed to ha rities authority and I have a reasonable SEC becomes effective. | ve made the required expectation that I will be eligible to | | | | | | |
| SECTION 2.A.(10) Multi-State Adviser | | | | | | | | | |
| If you are relying on rule 203A-2(d), the m about your eligibility for SEC registration. | | | | | | | | | |
| If you are applying for registration as an ir | • | • | | | | | | | |
| I have reviewed the applicable state an investment adviser with the <i>state secur</i> | | at I am required by the laws of 15 or n | nore states to register as an | | | | | | |
| ☐ I undertake to withdraw from SEC regis states to register as an investment adv | tration if I file an amendment to this r | | equired by the laws of fewer than 15 | | | | | | |
| If you are submitting your annual updating Within 90 days prior to the date of filing by the laws of at least 15 states to region. | this amendment, I have reviewed the | e applicable state and federal laws and | | | | | | | |
| SECTION 2.A.(12) SEC Exemptive Order | | | | | | | | | |
| If you are relying upon an SEC <i>order</i> exemptive order | oting you from the prohibition on regis | tration, provide the following information | on: | | | | | | |
| | | · · | | | | | | | |
| Application Number: 803- | | | | | | | | | |
| Date of <i>order</i> : | | | | | | | | | |
| | | | | | | | | | |

| A. | ow are you organiz@ase 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 7 of 74 Corporation | |
|-----|--|---------|
| | Sole Proprietorship | |
| | C Limited Liability Partnership (LLP) | |
| | C Partnership | |
| | C Limited Liability Company (LLC) | |
| | | |
| | Other (specify): | |
| | you are changing your response to this Item, see Part 1A Instruction 4. | |
| B. | n what month does your fiscal year end each year? ECEMBER | |
| C. | nder the laws of what state or country are you organized? State Country | |
| | Delaware United States | |
| | you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the ame of the state or country where you reside. | |
| | f you are changing your response to this Item, see Part 1A Instruction 4. | |
| | | |
| ten | Successions | |
| Α. | Yes re you, at the time of this filing, succeeding to the business of a registered investment adviser? | No ⊙ |
| | "yes", complete Item 4.B. and Section 4 of Schedule D. | |
| B. | ate of Succession: (MM/DD/YYYY) | |
| | you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction | 4. |
| SEC | ON 4 Successions | |
| | No Information Filed | |
| ten | Information About Your Advisory Business - Employees, Clients, and Compensation | |
| Res | nses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making tory policy. Part 1A Instruction 5.a. provides additional guidance to newly formed advisers for completing this Item 5. | |
| Em | pyees | |
| - | are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employ ms more than one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5). | yee |
| A. | pproximately how many <i>employees</i> do you have? Include full- and part-time <i>employees</i> but do not include any clerical workers. | |
| B. | Approximately how many of the <i>employees</i> reported in 5.A. perform investment advisory functions (including research)? | |
| | 2) Approximately how many of the <i>employees</i> reported in 5.A. are registered representatives of a broker-dealer? 0 | |
| | Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment adviser representatives</i> ? | |
| | 4) Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment adviser</i> | |

Item 3 Form of Organization

| | (5) | O O | Loximaters up Adden Tol Tige lawn Mast Tebra List Mu a DA Oct lib Habida | 395 Its of the | in Tales | ATPany-of | AG. BAOI | 74 | | | |
|-----|--|---------|--|------------------|---------------------|----------------|-----------------|---------------------|---------------------|----------|--|
| | (6) | | roximately how many firms or other <i>persons</i> solicit advisory <i>clients</i> o | n your behalf? | , | | | | | | |
| | In yo your | | esponse to Item 5.B.(6), do not count any of your employees and count olf. | t a firm only on | ce – do not | count each c | of the firm's | s employee | es that sol | licit on | |
| Cli | ents | | | | | | | | | | |
| - | • | • | nses to Items 5.C. and 5.D. do not include as "clients" the investors in estors. | a private fund | you advise, | unless you h | nave a sepa | nrate advisi | ory relatio | onship | |
| C. | (1) | To a | approximately how many clients did you provide investment advisory | services durir | ng your mo | st recently c | ompleted f | iscal year? | ? | | |
| | | \circ | O 1-10 | | | ⊙ 11-25 | | | | | |
| | | | 26-100 C More than 100 If more than 100, how | • | | | | | | | |
| | (2) | Ann | round to the nearest) roximately what percentage of your <i>clients</i> are non- <i>United States pe</i> | | | | | | | | |
| | (2) | 73% | | | | | | | | | |
| | | | | | | | | | | | |
| D. | For purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include businesses organized as sole proprietorships. The category "business development companies" consists of companies that have made an election pursuant to section 54 of the Investment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, check "None" in response to Item 5.D.(1)(d) and do not check any of the boxes in response to Item 5.D.(2)(d). | | | | | | | | | | |
| | (1) | | at types of <i>clients</i> do you have? Indicate the approximate percentagot fits into more than one category, check all that apply. | e that each ty | pe of <i>client</i> | comprises o | f your tota | I number | of <i>clients</i> . | If a | |
| | | | | <u>None</u> | <u>Up to 10%</u> | <u>11-25%</u> | 26-50% | <u>51-75%</u> | 76-99% | 100% | |
| | | (a) | Individuals (other than high net worth individuals) | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (b) | High net worth individuals | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (c) | Banking or thrift institutions | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | , , | Investment companies | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | | Business development companies | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (f) | Pooled investment vehicles (other than investment companies) | 0 | 0 | 0 | 0 | 0 | 0 | • | |
| | | (g) | Pension and profit sharing plans (but not the plan participants) | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (h) | Charitable organizations | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (i) | Corporations or other businesses not listed above | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (j) | State or municipal government entities | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (k) | Other investment advisers | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (I) | Insurance companies | • | 0 | 0 | 0 | 0 | 0 | 0 | |
| | | (m) | Other: | ⊚ | 0 | 0 | 0 | 0 | 0 | 0 | |
| | (2) | | cate the approximate amount of your regulatory assets under mana e of <i>client</i> . If a <i>client</i> fits into more than one category, check all that a | | rted in Iter | n 5.F. below) |) attributal | ole to each | n of the fo | ollowing | |
| | | | | | None | Up to 25% | <u>Up to 50</u> | <u>)%</u> <u>Up</u> | to 75% | >75% | |
| | | (a) | Individuals (other than high net worth individuals) | | • | 0 | 0 | | 0 | 0 | |
| | | (b) | High net worth individuals | | • | 0 | 0 | | 0 | 0 | |
| | | (c) | Banking or thrift institutions | | • | 0 | 0 | | 0 | 0 | |
| | | (d) | Investment companies | | • | 0 | 0 | | 0 | 0 | |
| | | (e) | Business development companies | | • | 0 | 0 | | 0 | 0 | |
| | | (f) | Pooled investment vehicles (other than investment companies) | | 0 | 0 | 0 | | 0 | • | |
| | | (g) | Pension and profit sharing plans (but not the plan participants) | | • | 0 | 0 | | 0 | 0 | |
| | | (h) | Charitable organizations | | • | 0 | 0 | | 0 | 0 | |
| | | (i) | Corporations or other businesses not listed above | | • | 0 | 0 | | 0 | 0 | |
| | | (j) | State or municipal government entities | | • | 0 | 0 | | 0 | 0 | |
| | | (k) | Other investment advisers | | • | 0 | 0 | | 0 | 0 | |

| | | (I) | Insurance | companies | 6 | | | | | | ⊙ | 0 | | 0 | 0 | | 0 |
|-----|---------|---|--------------------------------------|--------------------------------------|--|------------------------|-----------------|--|--------------|------------|-----------|------------------|-------------|------------|-------------|----------|-------|
| | | (m) | Other: | Case 1 | .:15-mc-(| 00417- | LAK | Documer | nt 3-21 | Filed | 12/23 | /15 ₀ | Page 9 | of 74 | 0 | | 0 |
| Con | npen | sation | n Arrangen | nents | | | | | | | | | | | | | |
| | You | are co | ompensate A percent Hourly cha | d for your i age of asse arges | nvestment a ets under yo r a newslette | ur manag | ement | by (check all th | nat apply): | | | | | | | | |
| | | (4)(5)(6)(7) | Commission | ons ace-based fe | n subscription | on fees) | | | | | | | | | | | |
| ten | 1 5 Ir | nform | ation Abou | ut Your Ad | visory Busin | ess - Reg | julatory | / Assets Under | Managem | ent | | | | | | | |
| Reg | ulate | ory As | sets Unde | er Managen | nent | | | | | | | | | | | | |
| F. | (1) | Do yo | u provide (| continuous | and regular | superviso | ory or m | nanagement se | rvices to se | ecurities | portfolio | s? | | | | | es No |
| | | , | | | Ü | · | , | der manageme | | | • | | | | | , | |
| | | | | | | | U.S. D | ollar Amount | | | | Total N | lumber of | Accounts | | | |
| | | Discr | etionary: | | | (a) | \$ 2,60 | 04,015,029 | | | (d) | 8 | | | | | |
| | | Non- | Discretiona | ıry: | | (b) | \$ O | | | | (e) | 0 | | | | | |
| | | Total | : | | | (c) | \$ 2,60 | 04,015,029 | | | (f) | 8 | | | | | |
| | | | 1A Instruct Dieting this | | plains how to | calculate _. | your re | gulatory assets | under man | agement. | . You mu | st follow | v these ins | structions | carefully w | vhen | |
| ten | 1 5 Iı | nform | ation Abo | ut Your Ad | visory Busin | iess - Adv | visory A | Activities | | | | | | | | | |
| Adv | isory | y Acti | vities | | | | | | | | | | | | | | |
| G. | | • . | | • | es do you p | rovide? Cl | heck all | that apply. | | | | | | | | | |
| | | (1) (2) (3) | Portfolio r | managemer | nt for individ | ment com | panies | l businesses (as well as "bu 0) | siness dev | elopmen | t compar | nies" th | at have m | nade an e | lection pur | suant to |) |
| | | (4) (5) | Portfolio r | managemer | | sses (oth | | cles (other tha small business | | | | other th | an registe | ered inves | stment cor | mpanies | and |
| | | (6) (7) | Selection | | visers (inclu | 0, | ate fund | managers) | | | | | | | | | |
| | | (8) (9) | Security r | atings or pr | icals or news ricing service | | | | | | | | | | | | |
| | | (11) | Education | | es s/workshops | 5 | | | | | | | | | | | |
| | | (12) | Other(spe | cify): | | | | | | | | | | | | | |
| | Inve | estmei | nt Company | y Act of 194 | 10, including | as a suba | dviser. I | es pursuant to a If you check Ite 5.G.(3) of Sched | m 5.G.(3), | | - | | | - | | | r the |
| H. | | ou pro | ovide financ | cial planning | g services, to | o how ma | ny <i>clien</i> | nts did you prov | ide these s | services o | during yo | our last | fiscal yea | r? | | | |
| | 0 | 1 - 1 | 0 | | | | | | | | | | | | | | |
| | \circ | 11 - | | | | | | | | | | | | | | | |
| | 0 | 26 - 51 - | | | | | | | | | | | | | | | |
| | 0 | | - 250 | | | | | | | | | | | | | | |
| | 0 | | - 500 | | | | | | | | | | | | | | |
| | Ö | | than 500 ore than 50 | 00, how ma | ny? | | | | | | | | | | | | |
| | | | | earest 500 | - | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |

In your responses to this Item 5.H., do not include as "clients" the investors in a private fund you advise, unless you have a separate advisory relationship with those investors.

| 1. | (1) sponsor the Coaste 1 plot amc-00417-LAK Document 3-21 Filed 12/23/15 Page 1 (2) act as a portfolio manager for the wrap fee program? | .0 of 74 |
|-------|--|---|
| | If you are a portfolio manager for a wrap fee program, list the names of the programs and their sponsors in Section 5.1.(2) | of Schedule D. |
| | If your involvement in a wrap fee program is limited to recommending wrap fee programs to your clients, or you advise a m wrap fee program, do not check either Item 5.1.(1) or 5.1.(2). | • |
| J. | I. In response to Item 4.B. of Part 2A of Form ADV, do you indicate that you provide investment advice only with respect investments? | to limited types of C © |
| SE | ECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies | |
| | No Information Filed | |
| SE | ECTION 5.I.(2) Wrap Fee Programs | |
| | No Information Filed | |
| T+c | tem 6 Other Business Activities | |
| | n this Item, we request information about your firm's other business activities. | |
| A. B. | (1) broker-dealer (registered or unregistered) (2) registered representative of a broker-dealer (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (4) futures commission merchant (5) real estate broker, dealer, or agent (6) insurance broker or agent (7) bank (including a separately identifiable department or division of a bank) (8) trust company (9) registered municipal advisor (10) registered security-based swap dealer (11) major security-based swap participant (12) accountant or accounting firm (13) lawyer or law firm (14) other financial product salesperson (specify): If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B, complete Section (14) Items 1.A. or 1.B, complete Section (15) Items 1.A. or 1.B, complete Section (16) Items 1.A. or 1.B, complete Section (17) Items 1.A. or 1.B, complete Section (18) Items 1.A. or 1.B, complete Section (19) Items 1.A. or 1.B. or 1. | Yes No C © C C Ferent name, provide that name. Yes No C © |
| SE | ECTION 6.A. Names of Your Other Businesses No Information Filed | |
| SF | ECTION 6.B.(2) Description of Primary Business | |
| | Describe your primary business (not your investment advisory business): | |
| If | f you engage in that business under a different name, provide that name: | |
| SE | ECTION 6.B.(3) Description of Other Products and Services | |

Describe other products or services you sell to your client, You may omit products and services that you listed in Section 6.B.(2) above.

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If you engage in that business under a different name, provide that name.

| Item 7 Fi | inancial | Industry | Affiliations |
|-----------|----------|----------|--------------|
|-----------|----------|----------|--------------|

| In this Item, we r | request information | about your | financial indu | ustry affiliations | and activities. | This information | identifies areas | in which | conflicts of | interest r | nay |
|--------------------|------------------------------|------------|----------------|--------------------|-----------------|------------------|------------------|----------|--------------|------------|-----|
| occur between yo | ou and your <i>clients</i> . | | | | | | | | | | |

| Α. | This part of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all of your advisory affiliates and any person that is under common control with you. |
|-----|--|
| | You have a related person that is a (check all that apply): |
| | (1) broker-dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered) (2) other investment adviser (including financial planners) |
| | (3) registered municipal advisor |
| | (4) registered security-based swap dealer |
| | (5) major security-based swap participant |
| | (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
| | (7) futures commission merchant |
| | (8) banking or thrift institution |
| | (9) trust company |
| | [(10) accountant or accounting firm |
| | [(11) lawyer or law firm |
| | [(12) insurance company or agency |
| | (13) pension consultant |
| | (14) real estate broker or dealer |
| | (15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles |
| | (16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles |
| | |
| | For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of |
| | Schedule D. |
| | You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with |
| | advisory services you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the |
| | related person, and the related person does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the |
| | related person; and (5) you have no reason to believe that your relationship with the related person otherwise creates a conflict of interest with your clients. |
| | |
| | You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your |
| | clients (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be |
| | operationally independent under rule 206(4)-2 of the Advisers Act. |
| | |
| SEC | CTION 7.A. Financial Industry Affiliations |
| Co | omplete a separate Schedule D Section 7.A. for each <i>related person</i> listed in Item 7.A. |
| 1. | Legal Name of Related Person: |
| | TREMBLANT HOLDINGS LLC |
| | |
| 2. | Primary Business Name of <i>Related Person</i> : |
| | TREMBLANT HOLDINGS LLC |
| | |
| 3. | Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) |
| | • |
| | or |
| | Other |
| | |
| 4. | Related Person's CRD Number (if any): |
| | |
| | |
| 5. | Related Person is: (check all that apply) |
| | (a) Droker-dealer, municipal securities dealer, or government securities broker or dealer |
| | (a) Dioker-dealer, municipal securities dealer, or government securities broker or dealer |
| | |
| | (b) other investment adviser (including financial planners) |
| | (b) ☐ other investment adviser (including financial planners) (c) ☐ registered municipal advisor |
| | (b) ☐ other investment adviser (including financial planners) (c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer |
| | (b) ☐ other investment adviser (including financial planners) (c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant |
| | (b) □ other investment adviser (including financial planners) (c) □ registered municipal advisor (d) □ registered security-based swap dealer (e) □ major security-based swap participant (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) |
| | (b) ☐ other investment adviser (including financial planners) (c) ☐ registered municipal advisor (d) ☐ registered security-based swap dealer (e) ☐ major security-based swap participant |

| | (j) (k) (l) (m) (n) (o) (p) | real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles | | |
|----------|---|--|---------------|-----|
| | | | es | No |
| 6. | Do y | you <i>control</i> or are you <i>controlled</i> by the <i>related person</i> ? | 0 | ⊚ |
| 7. | Are | you and the related person under common control? | • | 0 |
| 8. | (a) | Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ? | 0 | • |
| | (b) | presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ? | 0 | 0 |
| | (c) | If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> as Number and Street 1: Number and Street 2: | ssei | is: |
| | | City: State: Country: ZIP+4/Postal Code: | | |
| | | If this address is a private residence, check this box: \Box | _ | |
| 0 | (a) | | es | |
| 7. | | , and the second | 0 | 0 |
| | (b) | If the answer is yes, under what exemption? | | |
| 10. | . (a) | Is the related person registered with a foreign financial regulatory authority? | 0 | • |
| | (b) | If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed | _ | |
| 11. | . Do : | you and the related person share any supervised persons? | 0 | • |
| 12. | . Do y | you and the <i>related person</i> share the same physical location? | • | 0 |
| Iteı | m 7 <i>F</i> | Private Fund Reporting | | |
| | | Y | 'es | No |
| В | Are y | vou an adviser to any <i>private fund</i> ? | • | 0 |
| | sente Sched comp | es," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the needence and in Instruction 6 of the Instructions to Part 1A. If another adviser reports this information with respect to any such private fund in Section 7.B. dule D of its Form ADV (e.g., if you are a subadviser), do not complete Section 7.B.(1) of Schedule D with respect to that private fund. You must, insteadate Section 7.B.(2) of Schedule D. Ither case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetic | 3. (1) ad, | of |
| | | or similar designation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or ination in place of the fund's name. | | |
| SEC | СТІОІ | N 7.B.(1) Private Fund Reporting | | |
| А | . PRI\ | VATE FUND | | |
| <u>I</u> | nforn | nation About the <i>Private Fund</i> | | |
| 1 | | a) Name of the <i>private fund</i> : TREMBLANT CONCENTRATED FUND LP b) <i>Private fund</i> identification number: (include the "805-" prefix also) 805-6333576842 | | |
| 2 | 2. U | Under the laws of what state or country is the <i>private fund</i> organized: State: Country: | | |
| | | Delaware United States | | |

| | Name of General @ 12/23/15 Page 13 of 74 | | |
|-----------|--|--------------------|------|
| | TREMBLANT HOLDINGS LLC | | |
| 4 | The projects found (sheet), all thet engine was result about at least and). | | |
| 4. | The <i>private fund</i> (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 | | |
| | (1) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| | | | |
| 5. | List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | No Information Filed | | |
| | | Yes | No |
| 6. | (a) Is this a "master fund" in a master-feeder arrangement? | 0 | ⊚ |
| | (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed | | |
| | No information riled | | |
| | | Yes | No |
| | (c) Is this a "feeder fund" in a master-feeder arrangement? | 0 | • |
| | (d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of the <i>Private Fund</i> : | | |
| | Private Fund Identification Number: (include the "805-" prefix also) | | |
| | NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7 for the master-feeder arrangement or reporting on the funds separately. | 7.B.(| 1). |
| 7. | If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions: | each | ı of |
| | No Information Filed | | |
| | NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all | of th | ıeir |
| | assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | ssue Yes | |
| 8. | (a) Is this <i>private fund</i> a "fund of funds"? | | ··· |
| | (b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? | | 0 |
| | NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also <i>private funds</i> , or registered investment companies. | | |
| | | Yes | No |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | 0 | ⊚ |
| 10. | What type of fund is the <i>private fund</i> ? | | |
| | • hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund C venture capital fund C Other private | e fur | ıd |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of Instructions to Part 1A. | the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 177,939,072 | | |
| <u>Ow</u> | <u>vnership</u> | | |
| 12 | Minimum investment commitment required of an investor in the <i>private fund</i> : | | |
| | the second secon | | |

NOTE: Report the amount routinely required of investors who are not your related persons (even if different from the amount set forth in the

3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity):

\$ 5,000,000

organizational documents of the fund).

| 13. | Арр 24 | Approximate number as the 1915 of the 1915 | Page 14 of 74 |
|------------|-------------|--|---|
| 14. | | . What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related perso</i> 37% | ns: |
| 15. | | . What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds or 41% | f funds: |
| 16. | | . What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0% | |
| You | ur Ac | our Advisory Services | |
| 17. | (a) | . (a) Are you a subadviser to this <i>private fund</i> ? | Yes No |
| | | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the advise question 17(a) is "no," leave this question blank. | |
| | | No Information Filed | |
| 18 | (a) | . (a) Do any other investment advisers advise the private fund? | Yes No |
| 10. | | (b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other to question 18(a) is "no," leave this question blank. | advisers to the <i>private fund</i> . If the answer |
| | | No Information Filed | |
| | | | Yes No |
| 19. | Are | . Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | ○ ⊙ |
| 20. | | . Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0% | |
| <u>Pri</u> | <u>vate</u> | ivate Offering | |
| 21. | Doe | . Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Se | Yes No ecurities Act of 1933? |
| 22. | If y | . If yes, provide the <i>private fund</i> 's Form D file number (if any): | |
| | | Form D file number | |
| | 02 | 021-49282 | |
| B. S | ERVI | SERVICE PROVIDERS | |
| Aud | ditor | <u>iditors</u> | Yes No |
| 23. | (a) | . (a) (1) Are the private fund's financial statements subject to an annual audit? | © 0 |
| | | (2) Are the financial statements prepared in accordance with U.S. GAAP? | ⊙ |
| | | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> use complete questions (b) through (f) separately for each auditing firm. | s more than one auditing firm, you must |
| | | Additional Auditor Information: 1 Record(s) Filed. | |
| | | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> us must complete questions (b) through (f) separately for each auditing firm. | ses more than one auditing firm, you |
| | | (b) Name of the auditing firm: ERNST & YOUNG LLP | |
| | | (c) The location of the auditing firm's office responsible for the private fund's audit (city, state and | country): |
| | | City: State: Country: | j. |
| | | NEW YORK New York United States | Yes No |
| | | (d) Is the auditing firm an <i>independent public accountant</i> ? | e o |

| | If "yes" to (e) above, is th accordance with its rules? | | spection by the Public Company Accounting Oversight Board in | ⊙ (|
|----------|--|---|--|------------------|
| | | | | |
| (a) Are | the <i>private funds</i> audited fin | nancial statements distributed to the | privata funds investors? | Yes |
| | · | e auditing firm contain an unqualified | | • |
| | res C No C Report Not Yet | | | |
| | • | | ndment to your Form ADV to update your response when the repo | ort is availa |
| e Broke | <u>er</u> | | | |
| (a) Doe: | s the <i>private fund</i> use one or | more prime brokers? | | Yes |
| | • | | below for each prime broker the <i>private fund</i> uses. If the <i>priva</i> gh (e) separately for each prime broker. | ate fund us |
| Add | ditional Prime Broker Infor | mation: 4 Record(s) Filed. | | |
| - 11 | | | (e) below for each prime broker the <i>private fund</i> uses. If the <i>pri</i> o) through (e) separately for each prime broker. | ivate fund |
| (b |) Name of the prime broker: CREDIT SUISSE SECURITIE | | | |
| (c) |) If the prime broker is regis | stered with the SEC, its registration r | number: | |
| | 8 - 422 | | | |
| | CRD Number (if any): 816 | | | |
| (d |) Location of prime broker's | office used principally by the <i>private</i> | fund (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | Yes I |
| (e |) Does this prime broker act | t as custodian for some or all of the $ ho$ | private fund's assets? | • |
| | | | | |
| - 11 | • | | (e) below for each prime broker the <i>private fund</i> uses. If the <i>pri</i> b) through (e) separately for each prime broker. | ivate fund |
| us | • | oker, you must complete questions (b | • | ivate fund |
| us (b | ses more than one prime bro Name of the prime broker: GOLDMAN, SACHS & CO. If the prime broker is regis 8 - 129 | oker, you must complete questions (b | through (e) separately for each prime broker. | ivate fund |
| us (b | ses more than one prime bro Name of the prime broker: GOLDMAN, SACHS & CO. If the prime broker is regis | ker, you must complete questions (b | through (e) separately for each prime broker. | ivate fund |
| (b) | ses more than one prime bro Name of the prime broker: GOLDMAN, SACHS & CO. If the prime broker is regis 8 - 129 CRD Number (if any): 361 | ker, you must complete questions (b | number: | ivate fund |
| (b) | ses more than one prime broker: O) Name of the prime broker: GOLDMAN, SACHS & CO. O) If the prime broker is registed to the second of the se | oker, you must complete questions (but it is stered with the SEC, its registration rule) office used principally by the <i>private</i> State: | number: fund (city, state and country): Country: | ivate fund |
| (b) | ses more than one prime broker: O) Name of the prime broker: GOLDMAN, SACHS & CO. O) If the prime broker is registed to the second of the second of prime broker's O) Location of prime broker's | oker, you must complete questions (best of the stered with the SEC, its registration response of the stered with the second of the stered with the second of the stered with the second of the second | through (e) separately for each prime broker. number: fund (city, state and country): | ivate fund Yes N |

uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:

| | 004471446 | | |
|--|--|---|--|
| | | nt 3-21 Filed 12/23/15 Page 16 of | 74 |
| 8 - 35008 | tered with the SEC, its registration | i number: | |
| CRD Number (if any): | | | |
| 79 | | | |
| | | | |
| (d) Location of prime broker's of | office used principally by the priva | te fund (city, state and country): | |
| City: NEW YORK | State: New York | Country: United States | |
| NEW TORK | New Tork | officed States | Yes No |
| (e) Does this prime broker act | as custodian for some or all of the | e private fund's assets? | © 0 |
| · · · · · · · · · · · · · · · · · · · | | | |
| • | | (e) below for each prime broker the <i>private fund</i> u (b) through (e) separately for each prime broker. | ses. If the <i>private fund</i> |
| (b) Name of the prime broker: | | | |
| MORGAN STANLEY & CO. LL | .C | | |
| (c) If the prime broker is regis | tered with the SEC, its registration | n number: | |
| 8 - 15869 | | | |
| CRD Number (if any): 8209 | | | |
| 0207 | | | |
| (d) Location of prime broker's | office used principally by the priva | te fund (city, state and country): | |
| City: | State: | Country: | |
| NEW YORK | New York | United States | |
| | | | |
| () 5 | | | Yes No |
| <u> </u> | as custodian for some or all of the | e private fund's assets? | Yes No ⊙ ○ |
| 1 Does the <i>private fund</i> use any cus | stodians (including the prime brok | e private fund's assets? ers listed above) to hold some or all of its assets? f) below for each custodian the private fund uses. If | ⊙ C Yes N ⊙ C |
| n Does the <i>private fund</i> use any cus f the answer to 25(a) is "yes," re | stodians (including the prime brok espond to questions (b) through (| ers listed above) to hold some or all of its assets? | ⊙ C Yes N ⊙ C |
| n Does the <i>private fund</i> use any cus f the answer to 25(a) is "yes," re | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) throug | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If | ⊙ C Yes N ⊙ C |
| nooes the <i>private fund</i> use any cust the answer to 25(a) is "yes," remore than one custodian, you mute that the answer to 25(a) is "yes," more than one custodian, you refer than one custodian, you refer than one custodian. | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) throug on: 6 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If | Yes N f the private fund uses |
| nooes the <i>private fund</i> use any cust the answer to 25(a) is "yes," remore than one custodian, you mute that the answer to 25(a) is "yes," more than one custodian, you remore than one custodian, you remove than one custodian. | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) throug on: 6 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. | Yes N f the private fund uses |
| nooes the <i>private fund</i> use any cust the answer to 25(a) is "yes," remore than one custodian, you mute that the answer to 25(a) is "yes," more than one custodian, you refer than one custodian, you refer than one custodian. | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through must complete questions (b) through | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. | Yes N f the private fund uses |
| nooes the private fund use any cust the answer to 25(a) is "yes," remore than one custodian, you mute. Additional Custodian Information. If the answer to 25(a) is "yes," more than one custodian, you remove than one custodian, you remove that the custodian of | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through strong (b) through complete questions (c) through the complete questions (b) through the complete questions (c) through the complete questions (d) through (d) thro | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. | Yes N The private fund uses If the private fund uses |
| noes the <i>private fund</i> use any cust the answer to 25(a) is "yes," report than one custodian, you mute that one custodian information. If the answer to 25(a) is "yes," more than one custodian, you report that one custodian. CREDIT SUISSE SECURITIES (c) Primary business name of CREDIT SUISSE SECURITIES (d) The location of the custodian City: | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through must complete questions (b) through some complete questions (b) through the complete questions (b) through (c) through (c | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund uses. If the custodian is a separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund is assets (city, state and country). | Yes N The private fund uses If the private fund uses |
| noes the <i>private fund</i> use any cust the answer to 25(a) is "yes," report than one custodian, you mute. Additional Custodian Information If the answer to 25(a) is "yes," more than one custodian, you report than one custodian. CREDIT SUISSE SECURITIES (c) Primary business name of CREDIT SUISSE SECURITIES (d) The location of the custodian. | stodians (including the prime brok espond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) through must complete questions (b) through some complete questions (b) through the complete questions (b) through (c) through (c | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund uses. If the custodian is a separately for each custodian. | Yes N f the private fund uses If the private fund uses |
| Does the private fund use any cust fithe answer to 25(a) is "yes," remore than one custodian, you mute. Additional Custodian Information If the answer to 25(a) is "yes," more than one custodian, you remove than one custodian. CREDIT SUISSE SECURITIES (c) Primary business name of a CREDIT SUISSE SECURITIES (d) The location of the custodian City: NEW YORK | stodians (including the prime brokespond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) throughmust complete questions (c) through (c | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund uses. If the custodian is a separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund is assets (city, state and country). | Yes N The private fund uses If the private fund uses Yes No |
| Does the <i>private fund</i> use any cust fithe answer to 25(a) is "yes," remore than one custodian, you mute. Additional Custodian Information If the answer to 25(a) is "yes," more than one custodian, you remove than one custodian. CREDIT SUISSE SECURITIES (c) Primary business name of CREDIT SUISSE SECURITIES (d) The location of the custodian City: | stodians (including the prime brokespond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) throughmust complete questions (c) through (c | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund uses. If the custodian is a separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If the private fund is assets (city, state and country). | Yes N f the private fund uses If the private fund uses |
| Does the <i>private fund</i> use any cust fithe answer to 25(a) is "yes," remore than one custodian, you mute. Additional Custodian Information If the answer to 25(a) is "yes," more than one custodian, you remove than one custodian. CREDIT SUISSE SECURITIES (c) Primary business name of CREDIT SUISSE SECURITIES (d) The location of the custodian City: NEW YORK (e) Is the custodian a <i>related p</i> | stodians (including the prime brokespond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) throughmust complete questions (c) through (| ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If you have the second of the private fund as assets (city, state and country). Country: United States | Yes N The private fund uses If the private fund uses Yes No |
| Does the <i>private fund</i> use any cust the answer to 25(a) is "yes," report than one custodian, you mut that one custodian information. If the answer to 25(a) is "yes," more than one custodian, you report that one custodian, you report that one custodian: CREDIT SUISSE SECURITIES (c) Primary business name of a CREDIT SUISSE SECURITIES (d) The location of the custodian city: NEW YORK (e) Is the custodian a <i>related p</i> | stodians (including the prime brokespond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) throughmust complete questions (c) through (c | ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If you have the second of the private fund as assets (city, state and country). Country: United States | Yes N The private fund uses If the private fund uses Yes No |
| Proces the private fund use any custoff the answer to 25(a) is "yes," reported than one custodian, you muta additional Custodian Information. If the answer to 25(a) is "yes," more than one custodian, you report that one custodian is created and continued to the custodian in th | stodians (including the prime brokespond to questions (b) through (ust complete questions (b) through on: 6 Record(s) Filed. Trespond to questions (b) throughmust complete questions (c) through (| ers listed above) to hold some or all of its assets? f) below for each custodian the <i>private fund</i> uses. If h (f) separately for each custodian. If (f) below for each custodian the <i>private fund</i> uses. If you have the second of the private fund as assets (city, state and country). Country: United States | Yes N The private fund uses If the private fund uses Yes No |

| IIIC | ore than o case olial57006000177 | eleAllestierPCbyMeUJh 47344p | for each custodian the <i>private fund</i> uses. If the <i>privat</i> ar Tilled: 12(23)15 _{tian} Page 17 of 74 | |
|------------------------------|--|--|---|-------------------|
| (b) | Legal name of custodian: GOLDMAN, SACHS & CO. | | | |
| (c) | Primary business name of custodian: GOLDMAN, SACHS & CO. | | | |
| (d) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>priv</i> State: | ate fund's assets (city, state and country): Country: | |
| | NEW YORK | New York | United States | |
| (e) | Is the custodian a related person of you | ur firm? | | Yes No |
| (f) | If the custodian is a broker-dealer, pro 8 - 129 | vide its SEC registration number | (if any) | |
| | CRD Number (if any): 361 | | | |
| | | | | |
| mo | the answer to 25(a) is "yes," respond to ore than one custodian, you must comple Legal name of custodian: J.P. MORGAN SECURITIES LLC | - | for each custodian the <i>private fund</i> uses. If the <i>privat</i> arately for each custodian. | te fund uses |
| (c) | Primary business name of custodian: J.P. MORGAN SECURITIES LLC | | | |
| | | | | |
| (4) | The location of the custodian's office re | espansible for custody of the priv | ata funds assats (city state and country): | |
| (d) | The location of the custodian's office re City: | esponsible for <i>custody</i> of the <i>priv</i> State: | ate fund's assets (city, state and country): Country: | |
| (d) | | | | |
| | City: | State: New York | Country: | Yes No ○ ⊙ |
| (e) | City: NEW YORK | State: New York ur firm? | Country: United States | |
| (e) | City: NEW YORK Is the custodian a <i>related person</i> of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): | State: New York ur firm? | Country: United States | |
| (e) | City: NEW YORK Is the custodian a <i>related person</i> of you If the custodian is a broker-dealer, pro 8 - 35008 | State: New York ur firm? | Country: United States | |
| (e) (f) | City: NEW YORK Is the custodian a <i>related person</i> of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 | State: New York ur firm? vide its SEC registration number questions (b) through (f) below | Country: United States (if any) for each custodian the <i>private fund</i> uses. If the <i>private</i> | 0 0 |
| (e) (f) | City: NEW YORK Is the custodian a <i>related person</i> of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 the answer to 25(a) is "yes," respond to | State: New York ur firm? vide its SEC registration number questions (b) through (f) below | Country: United States (if any) for each custodian the <i>private fund</i> uses. If the <i>private</i> | 0 0 |
| (e) (f) If t mo | City: NEW YORK Is the custodian a related person of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 the answer to 25(a) is "yes," respond to bre than one custodian, you must complete the complete than one custodian. | State: New York ur firm? vide its SEC registration number questions (b) through (f) below | Country: United States (if any) for each custodian the <i>private fund</i> uses. If the <i>private</i> | 0 0 |
| (e) (f) If 1 ma (b) (c) | City: NEW YORK Is the custodian a related person of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 the answer to 25(a) is "yes," respond to ore than one custodian, you must comple Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. | State: New York ur firm? evide its SEC registration number questions (b) through (f) below ete questions (b) through (f) sep | Country: United States (if any) for each custodian the <i>private fund</i> uses. If the <i>private</i> | 0 0 |
| (e) (f) If 1 ma (b) (c) | City: NEW YORK Is the custodian a related person of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 the answer to 25(a) is "yes," respond to ore than one custodian, you must complete than one custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office recity: | State: New York ur firm? vide its SEC registration number questions (b) through (f) below ete questions (b) through (f) sep esponsible for <i>custody</i> of the <i>priv</i> State: | Country: United States (if any) for each custodian the private fund uses. If the private arately for each custodian. | 0 0 |
| (e) (f) If 1 ma (b) (c) | City: NEW YORK Is the custodian a related person of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 the answer to 25(a) is "yes," respond to ore than one custodian, you must complete than one custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office related to the custodian' | State: New York ur firm? vide its SEC registration number questions (b) through (f) below ete questions (b) through (f) sep esponsible for <i>custody</i> of the <i>priv</i> | Country: United States (if any) for each custodian the private fund uses. If the private arately for each custodian. | € te fund uses |
| (e) (f) If 1 mo (b) (c) (d) | City: NEW YORK Is the custodian a related person of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 the answer to 25(a) is "yes," respond to ore than one custodian, you must complete than one custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office recity: | State: New York ur firm? evide its SEC registration number questions (b) through (f) below ete questions (b) through (f) sep esponsible for <i>custody</i> of the <i>priv</i> State: New York | Country: United States (if any) for each custodian the private fund uses. If the private arately for each custodian. | 0 0 |
| (e) (f) (f) (c) (d) (e) | City: NEW YORK Is the custodian a related person of you If the custodian is a broker-dealer, pro 8 - 35008 CRD Number (if any): 79 The answer to 25(a) is "yes," respond to ore than one custodian, you must complet Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office re City: NEW YORK | State: New York ur firm? vide its SEC registration number questions (b) through (f) below ete questions (b) through (f) sep esponsible for <i>custody</i> of the <i>priv</i> State: New York ur firm? | Country: United States (if any) for each custodian the private fund uses. If the private arately for each custodian. ate fund's assets (city, state and country): Country: United States | Ĉ € te fund uses |

| | Case 1:15-mo | c-00417-LAK Documen | t 3-21 Filed 12/23/15 Page 18 of 74 | |
|--------|---|---|--|----------------------------|
| | | | f) below for each custodian the <i>private fund</i> uses. If th h (f) separately for each custodian. | e <i>private fund</i> uses |
| | (b) Legal name of custodian: MORGAN STANLEY & CO. LL | С | | |
| | (c) Primary business name of c | | | |
| | (d) The location of the custodia | n's office responsible for <i>custody</i> of | f the private fund's assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | Yes No |
| | (e) Is the custodian a related p | erson of your firm? | | 0 0 |
| | (f) If the custodian is a broker 8 - 15869 | dealer, provide its SEC registration | number (if any) | |
| | 8 - 15869 CRD Number (if any): 8209 | | | |
| | 8207 | | | |
| | | | f) below for each custodian the <i>private fund</i> uses. If th h (f) separately for each custodian. | e <i>private fund</i> uses |
| | (b) Legal name of custodian: THE BANK OF NEW YORK MI | ELLON | | |
| | (c) Primary business name of c | | | |
| | (d) The location of the custodia | n's office responsible for <i>custody</i> of | f the <i>private fund</i> 's assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | Yes No |
| | (e) Is the custodian a related p | erson of your firm? | | O |
| | (f) If the custodian is a broker | dealer, provide its SEC registration | number (if any) | |
| | - CRD Number (if any): | | | |
| | | | | |
| dminis | <u>strator</u> | | | Yes N |
| | Does the <i>private fund</i> use an adm | inistrator other than your firm? | | e c |
| ` , | If the answer to 26(a) is "yes," re | • | below. If the <i>private fund</i> uses more than one administ | trator, you must |
| | Additional Administrator Inform | nation: 1 Record(s) Filed. | | |
| | | respond to questions (b) through ((f) separately for each administrat | f) below. If the <i>private fund</i> uses more than one admin or. | istrator, you must |
| | (b) Name of the administrator: CITCO FUND SERVICES (US. | A) INC. | | |
| | (c) Location of administrator (c | ity, state and country): | | |
| | City: | State: | Country: | |
| | CHARLOTTE | North Carolina | United States | |

| | | (e) Does the administrator prepare and send investor account statement | s to the <i>private fund</i> 's investors? | |
|-----|-------|---|---|---|
| | | Fes (provided to all investors) Some (provided to some but not a | all investors) No (provided to no investors) | |
| | | | | |
| | | (f) If the answer to 26(e) is "no" or "some," who sends the investor accinvestor account statements are not sent to the (rest of the) private in | | |
| | | . ,, | | Ш |
| | | | | |
| | | | | |
| 27. | you | ing your last fiscal year, what percentage of the <i>private fund</i> 's assets (by val r <i>related person</i> ? | ue) was valued by a <i>person</i> , such as an administrator, that is not | |
| | 100 | | | |
| | rele | ude only those assets where (i) such person carried out the valuation proce vant quotes, and (ii) the valuation used for purposes of investor subscriptio cations) was the valuation determined by such person. | | |
| Ma | rkete | <u>ers</u> | | |
| | | | Yes N | 0 |
| 28. | (a) | Does the $\ensuremath{\textit{private fund}}$ use the services of someone other than you or your $\ensuremath{\textit{e}}$ | mployees for marketing purposes? | ð |
| | | You must answer "yes" whether the person acts as a placement agent, consimilar person. If the answer to 28(a) is "yes", respond to questions (b) the private fund uses more than one marketer you must complete questions (b) | ough (g) below for each such marketer the private fund uses. If the | |
| | | | | |
| | | No Information | n Filed | |
| | | | | |
| | | | | |
| | | | | = |
| | | TE FUND | | |
| | | | | |
| 1. | (a) | Name of the private fund: | | |
| | | TREMBLANT CONCENTRATED MASTER FUND LP | | |
| | (h) | Private fund identification number: | | |
| | (6) | (include the "805-" prefix also) | | |
| | | 805-6624476535 | | |
| | | 003 0024470333 | | |
| | | | | |
| | | | | |
| 2. | Und | er the laws of what state or country is the <i>private fund</i> organized: | | |
| | | State: Country: | | |
| | | Cayman Islands | | |
| | | | | |
| 3. | Nan | ne(s) of General Partner, Manager, Trustee, or Directors (or persons serving | in a similar capacity): | |
| | Na | me of General Partner, Manager, Trustee, or Director | | |
| | | EMBLANT HOLDINGS LLC | | 1 |
| | | | | _ |
| | | | | |
| 4. | The | private fund (check all that apply; you must check at least one): | | |
| | | (1) qualifies for the exclusion from the definition of investment company und | er section 3(c)(1) of the Investment Company Act of 1940 | |
| | V | (2) qualifies for the exclusion from the definition of investment company und | er section 3(c)(7) of the Investment Company Act of 1940 | |
| | | | | |
| 5. | List | the name and country, in English, of each foreign financial regulatory authorit | wwith which the <i>private fund</i> is registered | |
| 0. | | | y with which the private rana is registered. | |
| | | me of Country/English Name of Foreign Financial Regulatory Authority | | 4 |
| | Cay | man Islands - Cayman Islands Monetary Authority | | |
| | | | Yes N | o |
| 6. | (a) | Is this a "master fund" in a master-feeder arrangement? | e (| |
| | | - | | / |
| | | If yes, what is the name and <i>private fund</i> identification number (if any) of the | , | |
| | Pri | vate Fund Name | Private Fund Identification Number | 4 |
| | | EMBLANT CONCENTRATED BPI FUND LTD. | 805-9357579514 | 1 |

805-4678441157

TREMBLANT CONCENTRATED FUND LTD.

(d) Is the a course of 21.5 range 19.15 range 19.04 from Document 3-21 Filed 12/23/15 Page 19 of 74

Yes No

 \circ

| (c) | Is this a "feed Case" 1: 15-anc-1004137-1044KnenDocument 3-21 Filed 12/23/15 Page 20 of 74 |
|-----|---|
| (d) | If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? |
| | Name of the <i>Private Fund</i> : |
| | |
| | Private Fund Identification Number: |
| | (include the "805-" prefix also) |
| | |
| | |

NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7.B.(1). for the master-feeder arrangement or reporting on the funds separately.

7. of

(b) Private fund identification number: (include the "805-" prefix also)

(c) Under the laws of what state or country is the *private fund* organized:

Country: Cayman Islands

805-4678441157

State:

| | (d) | Name(s) Gaseral: 15-incompage 7-instes, or Document 3-sals serving day 12/23/15 pacifying 21 of 74 | |
|-----|-------------------|--|---------|
| | | Name of General Partner, Manager, Trustee, or Director | |
| | | BRETT BARAKETT | |
| | | BRIAN WOLF | |
| | | JUAN BOSCH | |
| | | MARTIN BYRNE | |
| | | PETER BARAKETT | |
| | | | |
| | (e) | The private fund (check all that apply; you must check at least one): [(1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of the Investment | of |
| | | 1940 ☑ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of the Investment Co | of |
| | | 1940 | |
| | (f) | List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | |
| | | Name of Country/English Name of Foreign Financial Regulatory Authority | |
| | | Cayman Islands - Cayman Islands Monetary Authority | |
| | | or purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all n a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it | |
| | | classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | |
| 8. | (a) Is th | is <i>private fund</i> a "fund of funds"? | Yes I |
| | . , | es, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? | 0 |
| | NOTE: F | or purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment whether or not they are also <i>private funds</i> , or registered investment companies. | |
| 9. | 0 3 | our last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment y Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | Yes I |
| 10. | What typ | pe of fund is the <i>private fund</i> ? | |
| | • hedg | e fund $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>priva</i> | te fund |
| | | or funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 or ons to Part 1A. | f the |
| 11. | Current \$ 387,77 | gross asset value of the <i>private fund</i> : 9,704 | |
| Ow | nership | | |
| 12. | Minimum | n investment commitment required of an investor in the private fund: | |
| | \$ 5,000, | 000 eport the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the | ž |
| | | tional documents of the fund). | |
| 13. | Approxir | nate number of the <i>private fund</i> 's beneficial owners: | |
| 14. | What is 20% | the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : | |
| 15. | What is | the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: | |
| 16. | What is | the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : | |

| 17 | (a) | Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 22 of 74 Are you a subadviser to this <i>private fund</i> ? | _ | _ |
|----------------|------------|--|---------------|------|
| .,. | | If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17(a) is "no," leave this question blank. | to | • |
| | | No Information Filed | | |
| | | | Yes | No |
| 18. | (a) | Do any other investment advisers advise the <i>private fund</i> ? | 0 | • |
| | (b) | If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18(a) is "no," leave this question blank. | answ | er |
| | | No Information Filed | | |
| | | | Yes | No |
| 19. | Are | e your <i>clients</i> solicited to invest in the <i>private fund</i> ? | ⊚ | С |
| 20. | App 139 | proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? % | | |
| Priv | ate | offering Control of the Control of t | V | |
| 21. | Doe | es the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | ves | No. |
| 22. | If y | ves, provide the <i>private fund</i> 's Form D file number (if any): | | |
| | | No Information Filed | | |
| | | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | Ye: | |
| | itor | | ⊙ ⊙ | C |
| | itor | (1) Are the <i>private fund</i>'s financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you | ⊙ ⊙ | 0 |
| | itor | (1) Are the <i>private fund</i>'s financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. | ⊙ mus | C |
| | itor | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. | ⊙ mus | (|
| | itor | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you | ⊙ mus | C |
| | itor | (1) Are the <i>private fund</i>'s financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD | ⊙ mus | C |
| | itor | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: | ⊙ mus | C |
| | itor | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): | ⊙ mus | (|
| | itor | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): City: State: Country: GRAND CAYMAN Cayman Islands | ⊙ mus | t |
| | itor | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): City: State: Country: Cayman Islands | ou | t |
| | itor | (1) Are the <i>private fund's</i> financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country): City: GRAND CAYMAN Cayman Islands (d) Is the auditing firm an <i>independent public accountant?</i> | ● ● I mussoou | No. |
| | itor | (1) Are the <i>private fund's</i> financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country): City: GRAND CAYMAN Cayman Islands (d) Is the auditing firm an <i>independent public accountant?</i> | ou Yes | No C |
| | itor | (1) Are the <i>private fund's</i> financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country): City: GRAND CAYMAN Cayman Islands (d) Is the auditing firm an <i>independent public accountant?</i> (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in | Ou Yes | No C |
| <u>Aud</u> 23. | (a) | (1) Are the <i>private fund's</i> financial statements subject to an annual audit? (2) Are the financial statements prepared in accordance with U.S. GAAP? If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. Additional Auditor Information: 1 Record(s) Filed. If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm. (b) Name of the auditing firm: ERNST & YOUNG LTD (c) The location of the auditing firm's office responsible for the <i>private fund's</i> audit (city, state and country): City: GRAND CAYMAN Cayman Islands (d) Is the auditing firm an <i>independent public accountant?</i> (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in | Ou Yes | No C |

<u>Prime Broker</u>

| Additional Prime Broker Inform | nation : 4 Record(s) Filed. | | |
|--|--|---|------------------------------|
| | | e) below for each prime broker the <i>private fund</i> use) through (e) separately for each prime broker. | ses. If the <i>private</i> i |
| (b) Name of the prime broker: CREDIT SUISSE SECURITIES | S (USA) LLC | | |
| (c) If the prime broker is regis 8 - 422 | tered with the SEC, its registration | number: | |
| CRD Number (if any): 816 | | | |
| (d) Location of prime broker's of City: | office used principally by the <i>private</i> State: | fund (city, state and country): Country: | |
| NEW YORK | New York | United States | |
| | | | Y |
| (e) Does this prime broker act | as custodian for some or all of the | private fund's assets? | |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. | | e) below for each prime broker the <i>private fund</i> use) through (e) separately for each prime broker. number: | ses. If the <i>private</i> |
| uses more than one prime broker.(b) Name of the prime broker: GOLDMAN, SACHS & CO.(c) If the prime broker is regis | er, you must complete questions (b |) through (e) separately for each prime broker. | ses. If the <i>private</i> |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 | er, you must complete questions (b | number: | ses. If the <i>private</i> |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 | ter, you must complete questions (but the complete questions (but the complete questions) tered with the SEC, its registration (but the complete questions) | number: | ses. If the <i>private</i> |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 (d) Location of prime broker's of City: | tered with the SEC, its registration of the second | fund (city, state and country): Country: | |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 (d) Location of prime broker's of City: NEW YORK | tered with the SEC, its registration of the second | fund (city, state and country): Country: United States | Y |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 (d) Location of prime broker's of City: NEW YORK (e) Does this prime broker act If the answer to 24(a) is "yes," uses more than one prime broker: J.P. MORGAN SECURITIES L (c) If the prime broker is regis 8 - 35008 | tered with the SEC, its registration of the state: New York as custodian for some or all of the state; respond to questions (b) through of the you must complete questions (b) | fund (city, state and country): Country: United States private fund's assets? e) below for each prime broker the private fund use) through (e) separately for each prime broker. | Y |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 (d) Location of prime broker's of City: NEW YORK (e) Does this prime broker act If the answer to 24(a) is "yes," uses more than one prime broker: J.P. MORGAN SECURITIES L (c) If the prime broker is regis 8 - 35008 CRD Number (if any): 79 | tered with the SEC, its registration of the private state: New York as custodian for some or all of the private of the privat | fund (city, state and country): Country: United States private fund's assets? e) below for each prime broker the private fund use) through (e) separately for each prime broker. | Y |
| uses more than one prime broker: (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is regis 8 - 129 CRD Number (if any): 361 (d) Location of prime broker's of City: NEW YORK (e) Does this prime broker act If the answer to 24(a) is "yes," uses more than one prime broker: J.P. MORGAN SECURITIES L (c) If the prime broker is regis 8 - 35008 CRD Number (if any): 79 | tered with the SEC, its registration of the private state: New York as custodian for some or all of the private of the priva | fund (city, state and country): Country: United States private fund's assets? e) below for each prime broker the private fund use) through (e) separately for each prime broker. | Y |

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(e) Does this prime broker act as custodian for some or all of the $\it private fund$'s assets?

| II. | | | |
|--|--|---|----------------|
| (b) Name of the prime broker: MORGAN STANLEY & CO. LI | | | |
| (c) If the prime broker is regis | stered with the SEC, its registration | number: | |
| 8 - 15869 | | | |
| CRD Number (if any): 8209 | | | |
| (d) Location of prime broker's | office used principally by the <i>private</i> | e fund (city, state and country): | |
| City: | State: | Country: | |
| NEW YORK | New York | United States | , |
| (e) Does this prime broker act | as custodian for some or all of the | private fund's assets? | |
| | | | |
| <u>ın</u> | | | |
| Does the <i>private fund</i> use any cu | stodians (including the prime broke | rs listed above) to hold some or all of its assets? | |
| | | below for each custodian the <i>private fund</i> uses. If the | private fund u |
| more than one custodian, you m | ust complete questions (b) through | (f) separately for each custodian. | |
| Additional Custodian Informat | ion : 6 Record(s) Filed. | | |
| | | | |
| (b) Legal name of custodian: CREDIT SUISSE SECURITIE | S (USA) LLC | | |
| (c) Primary business name of CREDIT SUISSE SECURITIE | | | |
| | | | |
| (d) The location of the custodi | an's office responsible for <i>custody</i> of | f the <i>private fund</i> 's assets (city, state and country): | |
| City: | State: | Country: | |
| | · | | , |
| City: | State: New York | Country: | |
| City: NEW YORK (e) Is the custodian a related p | State: New York | Country: United States | , |
| City: NEW YORK (e) Is the custodian a <i>related</i> (f) If the custodian is a broken | State: New York | Country: United States | |
| City: NEW YORK (e) Is the custodian a <i>related</i> , (f) If the custodian is a broker 8 - 422 | State: New York | Country: United States | |
| City: NEW YORK (e) Is the custodian a <i>related</i> (f) If the custodian is a broken | State: New York | Country: United States | |
| City: NEW YORK (e) Is the custodian a related of the custodian is a broker 8 - 422 CRD Number (if any): | State: New York | Country: United States | |
| City: NEW YORK (e) Is the custodian a <i>related</i> (f) (f) If the custodian is a broker 8 - 422 CRD Number (if any): 816 | State: New York person of your firm? r-dealer, provide its SEC registration " respond to questions (b) through | Country: United States | |
| City: NEW YORK (e) Is the custodian a <i>related</i> (f) (f) If the custodian is a broker 8 - 422 CRD Number (if any): 816 | State: New York person of your firm? r-dealer, provide its SEC registration " respond to questions (b) through | Country: United States n number (if any) (f) below for each custodian the <i>private fund</i> uses. If the | |
| City: NEW YORK (e) Is the custodian a related of the custodian is a broker as 422 CRD Number (if any): 816 If the answer to 25(a) is "yes," more than one custodian, you (b) Legal name of custodian: | State: New York person of your firm? r-dealer, provide its SEC registration " respond to questions (b) through must complete questions (b) through | Country: United States n number (if any) (f) below for each custodian the <i>private fund</i> uses. If the | |
| City: NEW YORK (e) Is the custodian a related of the custodian is a broker 8 - 422 CRD Number (if any): 816 If the answer to 25(a) is "yes, more than one custodian, you (b) Legal name of custodian: GOLDMAN, SACHS & CO. (c) Primary business name of GOLDMAN, SACHS & CO. (d) The location of the custodian | State: New York person of your firm? r-dealer, provide its SEC registration respond to questions (b) through must complete questions (b) through custodian: | Country: United States In number (if any) (f) below for each custodian the <i>private fund</i> uses. If the private fund uses if the private fund uses if the private fund uses if the private fund is assets (city, state and country): | |
| City: NEW YORK (e) Is the custodian a related of the custodian is a broker 8 - 422 CRD Number (if any): 816 If the answer to 25(a) is "yes, more than one custodian, you (b) Legal name of custodian: GOLDMAN, SACHS & CO. (c) Primary business name of GOLDMAN, SACHS & CO. | State: New York person of your firm? r-dealer, provide its SEC registration " respond to questions (b) through must complete questions (b) through custodian: | Country: United States n number (if any) (f) below for each custodian the <i>private fund</i> uses. If the private fund uses | |

| (f) | If the customen il alto MAC+00417 | SyldAK StDoccumer | ntn3m21r (iFilled 12/23/15 Page 25 of 74 | |
|------|--|---------------------------------|--|---------------------|
| | 8 - 129 | | | |
| | CRD Number (if any): 361 | | | |
| | 301 | | | |
| | | | | |
| | he answer to 25(a) is "yes," respond to re than one custodian, you must compl | | (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> gh (f) separately for each custodian. | <i>te fund</i> uses |
| (b) | Legal name of custodian: J.P. MORGAN SECURITIES LLC | | | |
| (c) | Primary business name of custodian: J.P. MORGAN SECURITIES LLC | | | |
| (d) | The location of the custodian's office r | esponsible for <i>custody</i> (| of the <i>private fund</i> 's assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | |
| | | | | Yes No |
| (e) | Is the custodian a related person of yo | ur firm? | | \circ |
| | | | | |
| (f) | If the custodian is a broker-dealer, pro | ovide its SEC registratio | n number (if any) | |
| | 8 - 35008 CRD Number (if any): | | | |
| | 79 | | | |
| | | | | |
| | | | | |
| If t | he answer to 25(a) is "ves." respond to | auestions (b) through | (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> | <i>te fund</i> uses |
| | re than one custodian, you must compl | | · | |
| (b) | Legal name of custodian: JPMORGAN CHASE & CO. | | | |
| (c) | Primary business name of custodian: JPMORGAN CHASE & CO. | | | |
| (4) | The location of the custodian's office r | rosponsible for sustady. | of the private funds access (city, state and country). | |
| (u) | City: | State: | of the <i>private fund</i> 's assets (city, state and country): Country: | |
| | NEW YORK | New York | United States | |
| | | | | Yes No |
| (e) | Is the custodian a related person of yo | ur firm? | | 0 0 |
| | | | | ~ ~ |
| (f) | If the custodian is a broker-dealer, pro | ovide its SEC registratio | n number (if any) | |
| | - CRD Number (if any): | | | |
| | CRD Number (if arry). | | | |
| | | | | |
| | | | | |
| | he answer to 25(a) is "yes," respond to re than one custodian, you must compl | | (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> ligh (f) separately for each custodian. | <i>te fund</i> uses |
| (b) | Legal name of custodian: MORGAN STANLEY & CO. LLC | | | |
| (c) | Primary business name of custodian: MORGAN STANLEY & CO. LLC | | | |
| (d) | The location of the custodian's office r | esponsible for <i>custody</i> (| of the <i>private fund'</i> s assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | |

| (f) If the custodian is a brok | er-dealer, provide its SEC registration | on number (if any) | |
|---|--|--|--------------|
| 8 - 15869 | | | |
| CRD Number (if any): | | | |
| 8209 | | | |
| | | n (f) below for each custodian the <i>private fund</i> uses. If the ugh (f) separately for each custodian. | private fur |
| (b) Legal name of custodian: THE BANK OF NEW YORK | | | |
| (c) Primary business name of THE BANK OF NEW YORK | | | |
| | · | of the <i>private fund</i> 's assets (city, state and country): | |
| City: NEW YORK | State: New York | Country: United States | |
| | | | |
| (e) Is the custodian a related | d person of your firm? | | |
| (0. 16 the end of the first back and | and the land of the the CEO and the office | | |
| (f) If the custodian is a brok | er-dealer, provide its SEC registration | on number (if any) | |
| | | | |
| עאט Numper (IT any): | | | |
| r <mark>ator</mark> Does the <i>private fund</i> use an ac | dministrator other than your firm? | | |
| rator Does the <i>private fund</i> use an ac f the answer to 26(a) is "yes," | • | f) below. If the <i>private fund</i> uses more than one administr or. | ator, you r |
| rator Does the <i>private fund</i> use an ac f the answer to 26(a) is "yes," | respond to questions (b) through (n (f) separately for each administrate | • | ator, you r |
| rator Does the <i>private fund</i> use an actif the answer to 26(a) is "yes," omplete questions (b) through the Additional Administrator Info | respond to questions (b) through (n (f) separately for each administrate remarks and the remarks are remarked. | or. n (f) below. If the <i>private fund</i> uses more than one adminis | |
| rator Does the <i>private fund</i> use an actif the answer to 26(a) is "yes," omplete questions (b) through the Additional Administrator Info | respond to questions (b) through (c) respond to questions (b) through (c) reparately for each administrate formation: 1 Record(s) Filed. In (f) separately for each administrate for each administrat | or. n (f) below. If the <i>private fund</i> uses more than one adminis | |
| rator Does the <i>private fund</i> use an actiful the answer to 26(a) is "yes," omplete questions (b) through Additional Administrator Info If the answer to 26(a) is "yes complete questions (b) through | respond to questions (b) through (c) respond to questions (c) through (d) respond to questions (d) through (e) respond to questions (e) through (f) separately for each administration: | or. n (f) below. If the <i>private fund</i> uses more than one adminis | |
| rator Does the <i>private fund</i> use an actif the answer to 26(a) is "yes," omplete questions (b) through the additional Administrator Information Infor | respond to questions (b) through (c) respond to questions (b) through (c) reparately for each administrate formation: 1 Record(s) Filed. It is a separately for each administrate for the separately for | or. n (f) below. If the <i>private fund</i> uses more than one adminis | |
| rator Does the private fund use an act the answer to 26(a) is "yes," omplete questions (b) through Additional Administrator Info If the answer to 26(a) is "yes complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (E) | respond to questions (b) through (c) respond to questions (b) through (c) reparately for each administrate formation: 1 Record(s) Filed. It is a separately for each administrate for the separately for | or. n (f) below. If the <i>private fund</i> uses more than one adminis | |
| rator Does the private fund use an act the answer to 26(a) is "yes," omplete questions (b) through Additional Administrator Info If the answer to 26(a) is "yes complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (E) (c) Location of administrator | respond to questions (b) through (c) respond to questions (b) through (c) reparately for each administrate formation: 1 Record(s) Filed. Separately for each administrate for: BERMUDA) LIMITED Conclude the control of the control | or. or. or. or. or. or. or. or. | strator, you |
| rator Does the private fund use an act of the answer to 26(a) is "yes," omplete questions (b) through the answer to 26(a) is "yes complete questions (b) through the answer to 26(a) is "yes complete questions (b) through the administrator CITCO FUND SERVICES (E) (c) Location of administrator City: HAMILTON | respond to questions (b) through (c) respond to questions (b) through (c) remation: 1 Record(s) Filed. S," respond to questions (b) through (gh (f) separately for each administration: BERMUDA) LIMITED C (city, state and country): State: | or. In (f) below. If the <i>private fund</i> uses more than one administrator. Country: | strator, you |
| rator Does the private fund use an act the answer to 26(a) is "yes," omplete questions (b) through Additional Administrator Info If the answer to 26(a) is "yes complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (E) (c) Location of administrator City: | respond to questions (b) through (c) respond to questions (b) through (c) remation: 1 Record(s) Filed. S," respond to questions (b) through (gh (f) separately for each administration: BERMUDA) LIMITED C (city, state and country): State: | or. In (f) below. If the <i>private fund</i> uses more than one administrator. Country: | |
| rator Does the private fund use an act of the answer to 26(a) is "yes," omplete questions (b) through the answer to 26(a) is "yes complete questions (b) through the answer to 26(a) is "yes complete questions (b) through the administrator CITCO FUND SERVICES (E) (c) Location of administrator City: HAMILTON (d) Is the administrator a real | respond to questions (b) through (c) respond to questions (b) through (c) remation: 1 Record(s) Filed. S," respond to questions (b) through (c) separately for each administration: BERMUDA) LIMITED (city, state and country): State: | or. In (f) below. If the <i>private fund</i> uses more than one administrator. Country: | strator, you |

27. During your last fiscal year, what percentage of the *private fund*'s assets (by value) was valued by a *person*, such as an administrator, that is not your *related person*?

| | rele | ude only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any evant quotes, and (ii) the valuation upon 17-417-41920 of 18-20-4193 of | | |
|-----------|-------------------|---|------|---------|
| <u>Ma</u> | rkete | | | |
| 20 | (-) | | | No |
| 28. | (a) | Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes? You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, similar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the <i>private fund</i> uses. <i>private fund</i> uses more than one marketer you must complete questions (b) through (g) separately for each marketer. | or | e ne |
| | | No Information Filed | | |
| A. P | RIVA [.] | TE FUND | | |
| Info | rmat | tion About the <i>Private Fund</i> | | |
| 1. | | Name of the <i>private fund</i> : TREMBLANT ELS FUND LP Private fund identification number: (include the "805-" prefix also) 805-1455002721 | | |
| 2. | Unc | ler the laws of what state or country is the <i>private fund</i> organized: | | |
| | | State: Country: | | |
| | | Delaware United States | | |
| 3. | Nan | ne(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): | | |
| | | me of General Partner, Manager, Trustee, or Director | | |
| | TRI | EMBLANT HOLDINGS LLC | | |
| 4. | ┍ | private fund (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| 5. | List | the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | | No Information Filed | | |
| , | (0) | to this all the state of a little and the first term of a | es | |
| 6. | | | O | ⊚ |
| | (6) | If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed | | |
| | | | | |
| | | · · | 'es | No |
| | (c) | Is this a "feeder fund" in a master-feeder arrangement? | • | 0 |
| | (d) | If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? Name of the <i>Private Fund</i> : TREMBLANT ELS MASTER FUND LP <i>Private Fund</i> Identification Number: (include the "805-" prefix also) 805-5469134494 | | |
| | | TE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7. the master-feeder arrangement or reporting on the funds separately. | B.(1 | ۱). |
| 7. | | ou are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for a feeder funds answer the following questions: | ach | of |

No Information Filed

| | Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 28 of 74 | | |
|-----------|---|----------|--------------|
| | NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | | |
| | | Yes | No |
| 8. | (a) Is this <i>private fund</i> a "fund of funds"? | \circ | ⊚ |
| | (b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? | 0 | \circ |
| | NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also <i>private funds</i> , or registered investment companies. | | |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | Yes O | |
| 10. | What type of fund is the <i>private fund</i> ? | | |
| | • hedge fund O liquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private | te fun | d |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of Instructions to Part 1A. | the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 13,553,355 | | |
| <u>Ow</u> | nership | | |
| 12. | Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 2,500,000 | | |
| | NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund). | | |
| 13. | Approximate number of the <i>private fund</i> 's beneficial owners: 4 | | |
| 14. | What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 0% | | |
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 100% | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 0% | | |
| You | r Advisory Services | V | N I - |
| 17 | (a) Are you a subadviser to this <i>private fund</i> ? | Yes | |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17(a) is "no," leave this question blank. | _ | • |
| | No Information Filed | | |
| | | Yes | No |
| 18. | (a) Do any other investment advisers advise the <i>private fund</i> ? | 0 | • |
| | (b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the atto question 18(a) is "no," leave this question blank. | inswe | r |
| | No Information Filed | | |
| | | Yes | No |
| 19. | Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | 0 | • |
| 20. | Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0% | | |

Private Offering

| Eo | es, provide the <i>private fund</i> 's Form D file number (if any): The D file number | | |
|-------|---|-----------------|-----|
| | 1-156448 | | |
| | | | |
| SERVI | CE PROVIDERS | | |
| ditor | <u>s</u> | Ye | |
| (a) | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | • | |
| | (2) Are the financial statements prepared in accordance with U.S. GAAP? | • | , |
| | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, y complete questions (b) through (f) separately for each auditing firm. | ou mus | st |
| | Additional Auditor Information: 1 Record(s) Filed. | | |
| | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm must complete questions (b) through (f) separately for each auditing firm. | , you | |
| | (b) Name of the auditing firm: ERNST & YOUNG LLP | | |
| | (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): | | |
| | City: State: Country: NEW YORK New York United States | | |
| | NEW TORK New Tork Officed States | Yes | N |
| | (d) Is the auditing firm an independent public accountant? | • | C |
| | (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? | • | C |
| | (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? | • | C |
| | | Ye | s |
| (g) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? | • |) |
| (h) | Does the report prepared by the auditing firm contain an unqualified opinion? | | |
| | © Yes ○ No ○ Report Not Yet Received | | |
| | If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report | ʻis avail | lak |
| ne I | <u>kroker</u> | Ye | s |
| (a) | Does the <i>private fund</i> use one or more prime brokers? | 0 | 0 |
| | If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private</i> more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. | e <i>fund</i> u | se |
| | No Information Filed | | |
| | | | |
| todi | <u>an</u> | Ye | s |
| (a) | Does the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? | • |) |
| | If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses. | nd uses | |
| | more than one custodian, you must complete questions (b) through (f) separately for each custodian. | | |

Yes No

| | (b) Legal name of custodian: JPMORGAN CHASE & CO. | ic-00417-LAK Document | 3-21 Filed 12/23/15 Page 30 01 | 74 |
|--------|--|---|---|--------------------------|
| | | Countadian | | |
| | (c) Primary business name of JPMORGAN CHASE & CO. | custodian. | | |
| | | · | he <i>private fund</i> 's assets (city, state and country): | |
| | City: NEW YORK | State: New York | Country: United States | |
| | | | | Yes No |
| | (e) Is the custodian a related | person of your firm? | | 0 0 |
| | (f) If the custodian is a broke | er-dealer, provide its SEC registration n | umber (if any) | |
| | - CRD Number (if any): | | | |
| | | | | |
| Admii | nistrato <u>r</u> | | | |
| | | | | Yes N |
| 26. (8 | a) Does the <i>private fund</i> use an ad | ninistrator other than your firm? | | ⊙ (|
| | | | elow. If the <i>private fund</i> uses more than one adm | inistrator, you must |
| | complete questions (b) through | (f) separately for each administrator. | | |
| | Additional Administrator Info | rmation: 1 Record(s) Filed. | | |
| | | | | |
| | | " respond to questions (b) through (f) through (f) through (f) is separately for each administrator | below. If the <i>private fund</i> uses more than one ad | ministrator, you must |
| | complete questions (b) tillouç | in (i) separately for each administrator | | |
| | (b) Name of the administrato | r: | | |
| | CITCO FUND SERVICES (U | SA) INC. | | |
| | | | | |
| | (c) Location of administrator | (city, state and country): | | |
| | City: | State: | Country: | |
| | CHARLOTTE | North Carolina | United States | Yes No |
| | (d) Is the administrator a <i>rel</i> a | atod person of your firm? | | |
| | (u) is the administrator a rea | nea person or your min: | | 0 0 |
| | (a) Doos the administrator of | congressed condinuector account state | monts to the private funds investors? | |
| | | repare and send investor account state | · | -1 |
| | e res (provided to all lilly | estors) C some (provided to some but | not all investors) ONo (provided to no investors | 5) |
| | | | | |
| | | | r account statements to the (rest of the) private | fund's investors? If |
| | investor account stateme | nts are not sent to the (rest of the) pri | vate fund's investors, respond "not applicable." | |
| | | | | |
| | | | | |
| | | rcentage of the private fund's assets (b | y value) was valued by a <i>person</i> , such as an adn | ninistrator, that is not |
| | our <i>related person</i> ? 00% | | | |
| | | such person carried out the valuation | procedure established for that asset, if any, inclu | ding obtaining any |
| | • | · | riptions, redemptions or distributions, and fee cal | |
| | llocations) was the valuation deter | | | |

Yes No

 $more\ than\ one\ custodian,\ you\ must\ complete\ questions\ (b)\ through\ (f)\ separately\ for\ each\ custodian.$

28. (a) Does the private fund use the services of someone other than you or your employees for marketing purposes?

private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer.

You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or similar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the

Marketers

No Information Filed

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| PI | RIVATE FUND | | |
|------------|---|---------|------|
| ıfo | ormation About the Private Fund | | |
| | (a) Name of the <i>private fund</i> : TREMBLANT ELS FUND LTD. | | |
| | (b) Private fund identification number: (include the "805-" prefix also) 805-3916445906 | | |
| · . | Under the laws of what state or country is the <i>private fund</i> organized: | | |
| | State: Country: Cayman Islands | | |
| 3 . | Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): | | |
| | Name of General Partner, Manager, Trustee, or Director | | |
| | BRETT BARAKETT | | |
| | JUAN BOSCH MARTIN BYRNE | | |
| | MARTIN BIRNE | | |
| ı | The <i>private fund</i> (check all that apply; you must check at least one): | | |
| | (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 | | |
| | (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| | | | |
| i. | List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | Name of Country/English Name of Foreign Financial Regulatory Authority | | |
| | Cayman Islands - Cayman Islands Monetary Authority | | |
| | | Yes | No |
|). | (a) Is this a "master fund" in a master-feeder arrangement? | 0 | ⊚ |
| | (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? | | |
| | No Information Filed | | |
| | | Yes | No |
| | (c) Is this a "feeder fund" in a master-feeder arrangement? | | 0 |
| | (d) If yes, what is the name and <i>private fund</i> identification number (if any) of the master fund in which this <i>private fund</i> invests? | | |
| | Name of the <i>Private Fund</i> : | | |
| | TREMBLANT ELS MASTER FUND LP | | |
| | Private Fund Identification Number: | | |
| | (include the "805-" prefix also) | | |
| | 805-5469134494 | | |
| | NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately. | 7.B.(| 1). |
| ·. | If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions: | r each | ı of |
| | No Information Filed | | |
| | NO IIIOITIation Filed | | |
| | | | |
| | NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all | l of th | eir |
| | assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it | issue | d |
| | multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | Yes | No |

8. (a) Is this *private fund* a "fund of funds"?

(b) If yes, does the *private fund* invest in funds managed by you or by a *related person*?

| | NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also private funds, or registered investment companies. | ıt | |
|-------------|---|------------|----------------|
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | Yes O | No ⊙ |
| 10. | What type of fund is the <i>private fund</i> ? | | |
| | • hedge fund C liquidity fund C private equity fund C real estate fund C securitized asset fund C venture capital fund C Other private | ate fun | d |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of Instructions to Part 1A. | of the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 229,789,649 | | |
| <u>Ow</u> | <u>nership</u> | | |
| 12. | Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 7,500,000 | | |
| | NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund). | е | |
| 13. | Approximate number of the <i>private fund</i> 's beneficial owners: 19 | | |
| 14. | What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 2% | | |
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 98% | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 88% | | |
| You | r Advisory Services | | |
| 17. | (a) Are you a subadviser to this <i>private fund</i> ? | Yes | No ⊙ |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17(a) is "no," leave this question blank. | | |
| | No Information Filed | | |
| | | Yes | No |
| 18. | (a) Do any other investment advisers advise the <i>private fund</i>?(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i>. If the | C answe | ⊙ er |
| | to question 18(a) is "no," leave this question blank. | | |
| | No Information Filed | | |
| 19. | Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | Yes O | No ⊙ |
| 20. | Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0% | | |
| <u>Priv</u> | vate Offering | | |
| 21. | Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | Yes ⊙ | No O |
| 22. | If yes, provide the <i>private fund</i> 's Form D file number (if any): | | |
| | Form D file number 021-162786 | | |

| | <u>s</u> | | |
|-------|---|-----------------------|----------------|
| | | Y | es N |
| . (a) | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | 1 | ⊙ (|
| | (2) Are the financial statements prepared in accordance with U.S. GAAP? | 1 | ⊙ (|
| | If the answer to $23(a)(1)$ is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, complete questions (b) through (f) separately for each auditing firm. | you m | ıst |
| | Additional Auditor Information : 1 Record(s) Filed. | | |
| | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm must complete questions (b) through (f) separately for each auditing firm. | n, you | |
| | (b) Name of the auditing firm: | | |
| | ERNST & YOUNG LTD | | |
| | (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): | | |
| | City: State: Country: | | |
| | GRAND CAYMAN Cayman Islands | Yes | . No |
| | (d) Is the auditing firm an independent public accountant? | · · | 0 |
| | | | |
| | (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? | • | 0 |
| | | | |
| | (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? | • | 0 |
| | | | es N |
| (g) | | Υ | |
| | accordance with its rules? | Υ | es N |
| | accordance with its rules? Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? | Υ | es N |
| | accordance with its rules? Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? | Y | es N ⊙ (|
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? © Yes © No © Report Not Yet Received | Y et is ava | es N |
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Received. | Y rt is ava | es N ⊙ (|
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Stoker Does the <i>private fund</i> use one or more prime brokers? If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses. If the <i>private fund</i> uses. | Y rt is ava | es N |
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Received. Broker Does the private fund use one or more prime brokers? | Y rt is ava | es N |
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Stoker Does the <i>private fund</i> use one or more prime brokers? If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private fund</i> uses. If the <i>private fund</i> uses. | Y rt is ava | es N |
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Broker Does the <i>private fund</i> use one or more prime brokers? If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>priva</i> more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. | Y rt is ava | es N |
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Note of the private fund use one or more prime brokers? If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund one prime broker, you must complete questions (b) through (e) separately for each prime broker. No Information Filed | Y rt is ava | es N es N uses |
| (h) | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? Does the report prepared by the auditing firm contain an unqualified opinion? Yes No Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report Note of the private fund use one or more prime brokers? If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund one prime broker, you must complete questions (b) through (e) separately for each prime broker. No Information Filed | Y te fund | es N |

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses

more than one custodian, you must complete questions (b) through (f) separately for each custodian.

(b) Legal name of custodian: JPMORGAN CHASE & CO.

(c) Primary business name of custodian: JPMORGAN CHASE & CO.

| - 11 | NEW YORK New York | Filed 12/23/15 Page 34 United States | Yes I |
|-------------------------|--|--|-------------------------------|
| | (e) Is the custodian a <i>related person</i> of your firm? | | o |
| | (f) If the custodian is a broker-dealer, provide its SEC registration number (if | any) | |
| | - CRD Number (if any): | | |
| | | | |
| nistra | | | Yes |
| | poes the <i>private fund</i> use an administrator other than your firm? If the answer to 26(a) is "yes," respond to questions (b) through (f) below. If the | e <i>private fund</i> uses more than one | administrator, you must |
| | omplete questions (b) through (f) separately for each administrator. | | |
| A | Additional Administrator Information : 1 Record(s) Filed. | | |
| | If the answer to 26(a) is "yes," respond to questions (b) through (f) below. If the complete questions (b) through (f) separately for each administrator. | the <i>private fund</i> uses more than on | e administrator, you musi |
| | (b) Name of the administrator: CITCO FUND SERVICES (BERMUDA) LIMITED | | |
| | (c) Location of administrator (city, state and country): | | |
| | City: State: HAMILTON | Country: Bermuda | |
| | (d) Is the administrator a <i>related person</i> of your firm? | | Yes No |
| | (e) Does the administrator prepare and send investor account statements to • Yes (provided to all investors) • Some (provided to some but not all inv | • | stors) |
| (| (f) If the answer to 26(e) is "no" or "some," who sends the investor account investor account statements are not sent to the (rest of the) private fund's | , , , , | |
| _ | g your last fiscal year, what percentage of the <i>private fund</i> 's assets (by value) v related person? | vas valued by a <i>person</i> , such as an | administrator, that is not |
| 00% nclude elevar | | • | |
| <u>ters</u> | <u>s</u> | | Yes |
| a) Do | loes the <i>private fund</i> use the services of someone other than you or your <i>emplo</i> | yees for marketing purposes? | C |
| | ou must answer "yes" whether the person acts as a placement agent, consulta imilar person. If the answer to 28(a) is "yes", respond to questions (b) through rivate fund uses more than one marketer you must complete questions (b) through | (g) below for each such marketer | the private fund uses. If the |
| | | | |

A. PRIVATE FUND

| 1. | (a) Name of the <i>private fund</i> : TREMBLANT ELEMSTER FLEDTHC-00417-LAK Do (b) Private fund identification number: (include the "805-" prefix also) 805-5469134494 | ocument 3-21 Filed 12/23/15 Page 35 of 74 | | |
|-----|---|--|-------|---|
| 2. | Under the laws of what state or country is the <i>private fund</i> organisms. State: Country: | anized: | | |
| | Cayman Islands | S | | |
| 3. | Name(s) of General Partner, Manager, Trustee, or Directors (or | r persons serving in a similar capacity): | | |
| | Name of General Partner, Manager, Trustee, or Director TREMBLANT HOLDINGS LLC | | | |
| | | | | |
| 4. | | one): nent company under section 3(c)(1) of the Investment Company Act of 1940 nent company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| 5. | List the name and country, in English, of each foreign financial r | regulatory authority with which the private fund is registered. | | |
| | Name of Country/English Name of Foreign Financial Regula | tory Authority | | |
| | Cayman Islands - Cayman Islands Monetary Authority | | | |
| 6. | (a) Is this a "master fund" in a master-feeder arrangement? | | Yes | |
| 0. | (b) If yes, what is the name and <i>private fund</i> identification num | nber (if any) of the feeder funds investing in this private fund? | ⊚ | 0 |
| | Private Fund Name | Private Fund Identification Number | | |
| | TREMBLANT ELS FUND LP | 805-1455002721 | | |
| | TREMBLANT ELS FUND LTD. | 805-3916445906 | | |
| 7. | Name of the <i>Private Fund</i> : Private Fund Identification Number: (include the "805-" prefix also) NOTE: You must complete question 6 for each master-feeder afor the master-feeder arrangement or reporting on the funds s | nber (if any) of the master fund in which this <i>private fund</i> invests? arrangement regardless of whether you are filing a single Schedule D, Section separately. er-feeder arrangement according to the instructions to this Section 7.B.(1), for | 7.B.(| |
| | | No Information Filed | | |
| | assets in a single fund ("master fund"). A fund would also be a | arrangement, one or more funds ("feeder funds") invest all or substantially all a "feeder fund" investing in a "master fund" for purposes of this question if it is (or series) invests substantially all of its assets in a single master fund. | | d |
| 8. | (a) Is this private fund a "fund of funds"? | | 0 | • |
| | (b) If yes, does the <i>private fund</i> invest in funds managed by ye | ou or by a related person? | 0 | 0 |
| | NOTE: For purposes of this question only, answer "yes" if the f vehicles, whether or not they are also <i>private funds</i> , or register | fund invests 10 percent or more of its total assets in other pooled investment red investment companies. | | |
| 0 | During your last final years III the set of Co. II | | Yes | |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securi Company Act of 1940 (other than "money market funds," to th | ities issued by investment companies registered under the Investment be extent provided in Instruction 6.e.)? | 0 | • |
| 10. | What type of fund is the private fund? | | | |

| | Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 36 of 74 NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of | | nd |
|------|---|------------|----------------|
| | Instructions to Part 1A. | | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 360,947,998 | | |
| Owi | nership | | |
| 12. | Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 25,000,000 | | |
| | NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund). | | |
| 13. | Approximate number of the <i>private fund's</i> beneficial owners: 3 | | |
| 14. | What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 2% | | |
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 98% | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 83% | | |
| You | Ir Advisory Services | Yes | No |
| 17. | (a) Are you a subadviser to this <i>private fund</i> ? | 0 | • |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer to question 17(a) is "no," leave this question blank. | _ | |
| | No Information Filed | | |
| | | Yes | No |
| 18. | (a) Do any other investment advisers advise the <i>private fund</i>?(b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i>. If the a to question 18(a) is "no," leave this question blank. | C inswe | ⊙ er |
| | No Information Filed | | |
| | | Yes | No |
| 9. | Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | • | 0 |
| 20. | Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 13% | | |
| Priv | vate Offering | | |
| 21. | Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | Yes ① | No C |
| 22. | If yes, provide the <i>private fund</i> 's Form D file number (if any): | | |
| | No Information Filed | | |
| . SE | ERVICE PROVIDERS | | |
| Aud | <u>litors</u> | ., | |
| 23 | (a) (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | Yes | _ |
| | (2) Are the financial statements prepared in accordance with U.S. GAAP? | ⊙ ⊙ | 0 |
| | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, you complete questions (b) through (f) separately for each auditing firm. | | |

В.

| | | 00417-LAK Document 3-21 Filed 12/23/15 Page 37 of 74 "respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm ugh (f) separately for each auditing firm. | n, you | |
|--------|--|--|------------------|------|
| | (b) Name of the auditing firm: | | | |
| | ERNST & YOUNG LTD | | | |
| | (c) The location of the auditing fit City: | rm's office responsible for the <i>private fund</i> 's audit (city, state and country): State: Country: | | |
| | GRAND CAYMAN | Cayman Islands | | |
| | (d) Is the auditing firm an independent | ndent public accountant? | Yes N | _ |
| | (e) Is the auditing firm registered | d with the Public Company Accounting Oversight Board? | © (| 5 |
| | (f) If "yes" to (e) above, is the at accordance with its rules? | uditing firm subject to regular inspection by the Public Company Accounting Oversight Board in | © (| 5 |
| | | | Yes | No |
| | • | cial statements distributed to the <i>private fund</i> 's investors? | ⊙ | 0 |
| | | diting firm contain an unqualified opinion? | | |
| | ♥ Yes ♥ No ♥ Report Not Yet Red Fyou check "Report Not Yet Received | ceived d," you must promptly file an amendment to your Form ADV to update your response when the repor | t is availa | ble. |
| me Bro | <u>oker</u> | | Yes | No |
| (a) D | oes the <i>private fund</i> use one or mo | pre prime brokers? | • | 0 |
| | | pond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private</i> nust complete questions (b) through (e) separately for each prime broker. | <i>e fund</i> us | es. |
| | Additional Prime Broker Informat | | | |
| | | espond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>priv</i> , you must complete questions (b) through (e) separately for each prime broker. | vate fund | |
| | (c) If the prime broker is register 8 - 422 CRD Number (if any): 816 | red with the SEC, its registration number: | | |
| | (d) Location of prime broker's offi | ice used principally by the <i>private fund</i> (city, state and country): State: Country: | | |
| | NEW YORK | New York United States | | |
| | | | Yes N | О |
| | (e) Does this prime broker act as | custodian for some or all of the <i>private fund</i> 's assets? | © (| |
| | | espond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>priv</i> , you must complete questions (b) through (e) separately for each prime broker. | vate fund | |
| | (c) If the prime broker is register 8 - 35008 CRD Number (if any): | red with the SEC, its registration number: | | |

| (e) Does this prime broker act a | as custodian for some or all of the p | private fund's assets? | |
|---|--|--|--|
| | | (e) below for each prime broker the <i>private ful</i> b) through (e) separately for each prime broke | · |
| (b) Name of the prime broker: | | | |
| MORGAN STANLEY & CO. LLC | | | |
| • | ered with the SEC, its registration | number: | |
| 8 - 15869 | | | |
| CRD Number (if any): 8209 | | | |
| (d) Location of prime broker's o | ffice used principally by the <i>private</i> | fund (city, state and country): | |
| City: | State: | Country: | |
| NEW YORK | New York | United States | |
| | | | |
| (e) Does this prime broker act a | as custodian for some or all of the p | orivate fund's assets? | |
| oes the <i>private fund</i> use any cust the answer to 25(a) is "yes," re | | s listed above) to hold some or all of its asse below for each custodian the <i>private fund</i> use (f) separately for each custodian. | |
| roes the <i>private fund</i> use any cust the answer to 25(a) is "yes," re- nore than one custodian, you mus | spond to questions (b) through (f) st complete questions (b) through | below for each custodian the private fund use | |
| poes the <i>private fund</i> use any cust f the answer to 25(a) is "yes," re- nore than one custodian, you must | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. | below for each custodian the <i>private fund</i> use (f) separately for each custodian. | es. If the <i>private fund</i> |
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| noes the <i>private fund</i> use any cust of the answer to 25(a) is "yes," remore than one custodian, you must consider that one custodian information. If the answer to 25(a) is "yes," more than one custodian, you must consider that one custodian. (b) Legal name of custodian: CREDIT SUISSE SECURITIES | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. respond to questions (b) through (bust complete questions (b) through (USA) LLC ustodian: | below for each custodian the <i>private fund</i> use (f) separately for each custodian. f) below for each custodian the <i>private fund</i> u | es. If the <i>private fund</i> |
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| noes the <i>private fund</i> use any cust of the answer to 25(a) is "yes," remore than one custodian, you must than one custodian Information. If the answer to 25(a) is "yes," more than one custodian, you must than one custodian, you must be considered in the custodian of the custodian. CREDIT SUISSE SECURITIES (d) The location of the custodian | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. Trespond to questions (b) through (nust complete questions (b) through (lust complete questions (b) through (lust complete questions (b) through (lust) LLC Trespond to questions (b) through (lust) complete questions (b) through (lust) LLC Trespond to questions (b) through (lust) complete questions (b) through (lust) LLC Trespond to questions (b) through (lust) complete questions (b) through (lust) complete questions (b) through (lust) complete questions (lust) through (lust) complete questions (lust) complete questions (lust) through (lust) complete questions | below for each custodian the <i>private fund</i> use (f) separately for each custodian. f) below for each custodian the <i>private fund</i> uh (f) separately for each custodian. | es. If the <i>private fund</i> ses. If the <i>private fun</i> |
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| roses the private fund use any cust for the answer to 25(a) is "yes," remore than one custodian, you must additional Custodian Information. If the answer to 25(a) is "yes," more than one custodian, you must be considered in the custodian of the custodian custodian in the custodian of the custodian custodian in the custodian custodian in the custodian custodian in the custodian custodian in the custodi | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. respond to questions (b) through (nust complete questions (b) through (ust complete questions (b) through (ust) LLC ustodian: (USA) LLC state: New York | below for each custodian the <i>private fund</i> use (f) separately for each custodian. f) below for each custodian the <i>private fund</i> uh (f) separately for each custodian. f the <i>private fund</i> 's assets (city, state and cour Country: United States | es. If the <i>private fund</i> ses. If the <i>private fun</i> |
| roses the private fund use any cust for the answer to 25(a) is "yes," remore than one custodian, you must additional Custodian Information. If the answer to 25(a) is "yes," more than one custodian, you must be considered in the custodian of the custodian custodian in the custodian of the custodian custodian in the custodian custodian in the custodian custodian in the custodian custodian in the custodi | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. Trespond to questions (b) through (nust complete questions (b) through (nust complete questions (b) through (USA) LLC Trespond to questions (b) through (nust complete questions (b) through (USA) LLC State: New York Trespond to questions (b) through (nust complete questions (b) through (USA) LLC State: New York | below for each custodian the <i>private fund</i> use (f) separately for each custodian. f) below for each custodian the <i>private fund</i> uh (f) separately for each custodian. f the <i>private fund</i> 's assets (city, state and cour Country: United States | es. If the <i>private fund</i> ses. If the <i>private fun</i> |
| f the answer to 25(a) is "yes," remore than one custodian, you must additional Custodian Information If the answer to 25(a) is "yes," more than one custodian, you must additional Custodian Information (b) Legal name of custodian: CREDIT SUISSE SECURITIES (c) Primary business name of custodian: CREDIT SUISSE SECURITIES (d) The location of the custodian City: NEW YORK (e) Is the custodian a related performance of the custodian and the custodian are lated performance. | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. Trespond to questions (b) through (nust complete questions (b) through (nust complete questions (b) through (USA) LLC Trespond to questions (b) through (nust complete questions (b) through (USA) LLC State: New York Trespond to questions (b) through (nust complete questions (b) through (USA) LLC State: New York | below for each custodian the <i>private fund</i> use (f) separately for each custodian. f) below for each custodian the <i>private fund</i> uh (f) separately for each custodian. f the <i>private fund</i> 's assets (city, state and cour Country: United States | es. If the <i>private fund</i> ses. If the <i>private fun</i> |
| f the answer to 25(a) is "yes," remore than one custodian, you must additional Custodian Information If the answer to 25(a) is "yes," more than one custodian, you must define the answer to 25(a) is "yes," more than one custodian, you must define the custodian of the custodian. CREDIT SUISSE SECURITIES (c) Primary business name of custodian credit of the custodian city: NEW YORK (e) Is the custodian a related per second of the custodian of the custodian are lated per second of th | spond to questions (b) through (f) st complete questions (b) through on: 5 Record(s) Filed. Trespond to questions (b) through (nust complete questions (b) through (nust complete questions (b) through (USA) LLC Trespond to questions (b) through (nust complete questions (b) through (USA) LLC State: New York Trespond to questions (b) through (nust complete questions (b) through (USA) LLC State: New York | below for each custodian the <i>private fund</i> use (f) separately for each custodian. f) below for each custodian the <i>private fund</i> uh (f) separately for each custodian. f the <i>private fund</i> 's assets (city, state and cour Country: United States | es. If the <i>private fund</i> ses. If the <i>private fun</i> |

(b) Legal name of custodian:
J.P. MORGAN SECURITIES LLC

| (c) | Primary business name of custodian: J.P. MORGASSE CLIFT SENCE 00417- | LAK Document 3-21 F | Filed 12/23/15 | Page 39 of 74 | | |
|-----|---|---|------------------------|---------------------|---------------|---------|
| (d) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>private</i> | fund's assets (city, s | state and country): | | |
| | City: | State: | Country: | | | |
| | NEW YORK | New York | United States | | | |
| (e) | Is the custodian a related person of you | ır firm? | | | Yes O | No ⊙ |
| (f) | If the custodian is a broker-dealer, prov 8 - 35008 | vide its SEC registration number (if | any) | | | |
| | CRD Number (if any): 79 | | | | | |
| | | | | | | |
| | | | | | | |
| | he answer to 25(a) is "yes," respond to re than one custodian, you must comple | | | • | <i>ınd</i> us | es |
| (b) | Legal name of custodian: JPMORGAN CHASE & CO. | | | | | |
| (c) | Primary business name of custodian: JPMORGAN CHASE & CO. | | | | | |
| (d) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>private</i> | fund's assets (city, s | state and country): | | |
| | City: | State: | Country: | 3 , | | |
| | NEW YORK | New York | United States | | | |
| (-) | | on Grand 2 | | | Yes | |
| (e) | Is the custodian a related person of you | ir tirm? | | | 0 | ⊚ |
| (f) | If the custodian is a broker-dealer, prov | vide its SEC registration number (if | any) | | | |
| | CRD Number (if any): | | | | | |
| | | | | | | |
| | he answer to 25(a) is "yes," respond to re than one custodian, you must comple | • | | • | <i>ınd</i> us | es |
| (b) | Legal name of custodian: MORGAN STANLEY & CO. LLC | | | | | |
| (c) | Primary business name of custodian: MORGAN STANLEY & CO. LLC | | | | | |
| (d) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>private</i> | fund's assets (city, s | state and country): | | |
| () | City: | State: | Country: | | | |
| | NEW YORK | New York | United States | | | |
| | | | | | Yes | No |
| (e) | Is the custodian a <i>related person</i> of you | r firm? | | | 0 | ⊚ |
| (f) | If the custodian is a broker-dealer, prov 8 - 15869 | vide its SEC registration number (if | any) | | | |
| | CRD Number (if any): | | | | | |
| | 8209 | | | | | |

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the *private fund* uses. If the *private fund* uses more than one custodian, you must complete questions (b) through (f) separately for each custodian.

| | (b) Legal name of custodian: THE BANK AS NEW YORK MELK | ੴ417-LAK Documer | nt 3-21 Filed 12/23/15 Page 40 of 74 | |
|--------------------|---|---|---|---------|
| | (c) Primary business name of cust THE BANK OF NEW YORK MELL | | | |
| | (d) The location of the custodian's | office responsible for <i>custody</i> (| of the <i>private fund</i> 's assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | Yes N |
| | (e) Is the custodian a related pers | on of your firm? | | 0 6 |
| | (f) If the custodian is a broker-de | aler, provide its SEC registratio | on number (if any) | |
| | CRD Number (if any): | | | |
| istr | r <u>ator</u> | | | Yes |
|) D | oes the <i>private fund</i> use an adminis | strator other than your firm? | | · · · · |
| | the answer to 26(a) is "yes," responsible to the answer to 26(b) is "yes," responsible to the answer to 26(b) through (f) s | | r) below. If the <i>private fund</i> uses more than one administrator, you or. | |
| A | Additional Administrator Informat | ion : 1 Record(s) Filed. | | |
| | (b) Name of the administrator: CITCO FUND SERVICES (BERMU | | itor. | |
| | (c) Location of administrator (city | , state and country): | | |
| | City: | State: | Country: | |
| | HAMILTON | | Bermuda | Yes No |
| | (d) Is the administrator a related p | person of your firm? | | 0 0 |
| | | | tatements to the <i>private fund</i> 's investors? but not all investors) ONO (provided to no investors) | |
| | | | estor account statements to the (rest of the) <i>private fund'</i> s investor <i>private fund'</i> s investors, respond "not applicable." | rs? If |
| our 00% clud | related person? 5 de only those assets where (i) such | person carried out the valuations | s (by value) was valued by a <i>person</i> , such as an administrator, the on procedure established for that asset, if any, including obtaining bscriptions, redemptions or distributions, and fee calculations (including) | g any |
| | | | | Yes |
| | <u>s</u> | | | 165 |
| loca | _ | es of someone other than you o | or your <i>employees</i> for marketing purposes? | o es |

No Information Filed

| A. P | PRIVATE FUND Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 41 of 74 | | |
|------|--|----------|---------|
| Info | formation About the <i>Private Fund</i> | | |
| 1. | (a) Name of the private fund: TREMBLANT LONG FUND LP (b) Private fund identification number: (include the "805-" prefix also) 805-2015757251 | | |
| 2. | Under the laws of what state or country is the <i>private fund</i> organized: State: Country: Delaware United States | | |
| 3. | Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): | | |
| | Name of General Partner, Manager, Trustee, or Director | | |
| | TREMBLANT HOLDINGS LLC | | |
| 4. | The <i>private fund</i> (check all that apply; you must check at least one): ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| 5. | List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | No Information Filed | | |
| 6. | (a) Is this a "master fund" in a master-feeder arrangement?(b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund? | Yes C | No ⊙ |
| | No Information Filed | | |
| | (c) Is this a "feeder fund" in a master-feeder arrangement? (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of the Private Fund: TREMBLANT LONG MASTER FUND LP Private Fund Identification Number: (include the "805-" prefix also) 805-7667048430 | Yes ⊙ | No C |
| | NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7 for the master-feeder arrangement or reporting on the funds separately. | | |
| 7. | If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions: | each | of |
| | No Information Filed | | |
| | NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | | |
| 0 | (a) Is this private fund a "fund of funds"? | Yes | |
| 8. | | 0 | ⊙ |
| | (b) If yes, does the private fund invest in funds managed by you or by a related person?NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment | | 0 |
| | vehicles, whether or not they are also <i>private funds</i> , or registered investment companies. | Yes | No |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | _ | • |

| 10. | What type of fund is the private fund? Case I.15-mic-00417-LAK Document 3-21 Filed 12/23/15 Page 42 of 74 | | |
|-------------|---|----------|------|
| | • hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private | ate fun | d |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of Instructions to Part 1A. | of the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 142,637,164 | | |
| <u>Ow</u> | nership | | |
| 12. | Minimum investment commitment required of an investor in the <i>private fund</i> : | | |
| | \$ 1,000,000 NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund). | е | |
| 13. | Approximate number of the <i>private fund</i> 's beneficial owners: 11 | | |
| 14. | What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 7% | | |
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 0% | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 34% | | |
| Υοι | ur Advisory Services | Yes | No |
| 17. | (a) Are you a subadviser to this <i>private fund</i> ? | 0 | • |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i>. If the answer question 17(a) is "no," leave this question blank. | | ٠ |
| | No Information Filed | | |
| | | Yes | No |
| 18. | (a) Do any other investment advisers advise the private fund? | 0 | • |
| | (b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18(a) is "no," leave this question blank. | answe | er |
| | No Information Filed | | |
| | | Yes | No |
| 19. | Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | 0 | • |
| 20. | Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0% | | |
| <u>Priv</u> | vate Offering | W | |
| 21. | Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | Yes ⊙ | C |
| 22. | If yes, provide the <i>private fund</i> 's Form D file number (if any): | | |
| | Form D file number | | |
| | 021-168202 | | |
| B. S | ERVICE PROVIDERS | | |
| Aud | <u>ditors</u> | | |
| 23. | (a) (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | Yes | No |
| | orani di salam di Sa | 5.77 | 20 / |

(2) Are the financial statements prepared in accordance with U.S. GAAP?

| III . | | | |
|--|--|----------|---------|
| | e answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm t complete questions (b) through (f) separately for each auditing firm. | , you | |
| | Name of the auditing firm: ERNST & YOUNG LLP | | |
| (c) | The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): | | |
| | City: Country: | | |
| | NEW YORK New York United States | V | |
| (d) | Is the auditing firm an independent public accountant? | Yes | |
| (4) | to the danking in in an independent pashe decountain. | • | |
| (e) | Is the auditing firm registered with the Public Company Accounting Oversight Board? | • | |
| 11 | If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? | • | |
| | | Υ | es |
| Are th | e private fund's audited financial statements distributed to the private fund's investors? | | 9 9 |
| Does | he report prepared by the auditing firm contain an unqualified opinion? | | |
| ⊙ Ye | S O No O Report Not Yet Received | | |
| | check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report | t is ava | ili |
| | | | |
| <u>Broker</u> | | | _ |
| Does | the private fund use one or more prime brokers? | Y | e: |
| | answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the <i>private</i> | e fund | us |
| | than one prime broker, you must complete questions (b) through (e) separately for each prime broker. | | |
| | | | |
| | No Information Filed | | |
| | No Information Filed | | |
| ian | No Information Filed | | |
| <u>ian</u> | No Information Filed | Y | es |
| | No Information Filed the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? | | es ① |
| Does | | (| • |
| Does If the more | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> | (| • |
| Does of the more of the Market | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fun</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. | nd use | s |
| Does of the more Addit If the more (b) | the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund than one custodian, you must complete questions (b) through (f) separately for each custodian. ional Custodian Information: 1 Record(s) Filed. e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private | nd use | s |
| Addit If the more (b) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. ional Custodian Information: 1 Record(s) Filed. e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i> e than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: | nd use | s |
| Does If the more Addit If the more (b) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. ional Custodian Information: 1 Record(s) Filed. e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i> e than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. | nd use | s |
| Does of the more o | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. ional Custodian Information: 1 Record(s) Filed. e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i> e than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. | nd use | s |
| Does If the more Addit If th more (b) (c) | the private fund use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund than one custodian, you must complete questions (b) through (f) separately for each custodian. ional Custodian Information: 1 Record(s) Filed. e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private e than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office responsible for custody of the private fund's assets (city, state and country): | nd use | s |

| | | | | Yes No |
|--------------------------------|--|--|--|---|
| 26. (a) | Does the <i>private fund</i> use an ac | Iministrator other than your firm? | | • o |
| | | respond to questions (b) through (f) below (f) separately for each administrator. | u. If the <i>private fund</i> uses more than one adminis | trator, you must |
| | Additional Administrator Info | ormation: 1 Record(s) Filed. | | |
| | | s," respond to questions (b) through (f) belongh (f) separately for each administrator. | ow. If the <i>private fund</i> uses more than one admir | nistrator, you must |
| | (b) Name of the administrate | or: | | |
| | CITCO FUND SERVICES (L | JSA) INC. | | |
| | (2) | | | |
| | (c) Location of administrator City: | (city, state and country): State: | Country: | |
| | CHARLOTTE | North Carolina | United States | |
| | | | | Yes No |
| | (d) Is the administrator a rel | lated person of your firm? | | 0 ⊚ |
| your 1009 Inclu relev | (f) If the answer to 26(e) is investor account statements in the statement of the statements of the st | "no" or "some," who sends the investor actents are not sent to the (rest of the) private ercentage of the private fund's assets (by versuch person carried out the valuation procion used for purposes of investor subscription. | count statements to the (rest of the) <i>private funde fund</i> 's investors, respond "not applicable." alue) was valued by a <i>person</i> , such as an adminicedure established for that asset, if any, including ions, redemptions or distributions, and fee calculations. | strator, that is not g obtaining any |
| <u>Markete</u> | <u>rs</u> | | | |
| 28. (a) | Does the <i>private fund</i> use the s | ervices of someone other than you or your | employees for marketing purposes? | Yes No |
| , | You must answer "yes" whethe similar person. If the answer to | er the person acts as a placement agent, co 28(a) is "yes", respond to questions (b) th | onsultant, finder, introducer, municipal advisor or nrough (g) below for each such marketer the <i>priv</i> b) through (g) separately for each marketer. | other solicitor, or |
| | | No Informat | ion Filed | |
| | | | | |
| . PRIVAT | E FUND | | | |
| | | | | |
| | on About the <i>Private Fund</i> | | | |

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(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)

CRD Number (if any):

(b) *Private fund* identification number: (include the "805-" prefix also)

805-4299305808

| 2. | Under the laws of what state or country is the <i>private fund</i> organized: State: Case 1:15-mc-00417 Document 3-21 Filed 12/23/15 Page 45 of 74 Cayman Islands | | |
|-----|--|---------|----|
| 3. | Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): | | |
| | Name of General Partner, Manager, Trustee, or Director | | |
| | BRETT BARAKETT | | |
| | JUAN BOSCH | | |
| | MARTIN BYRNE | | |
| 4. | The <i>private fund</i> (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| 5. | List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | No Information Filed | | |
| | | Yes | No |
| 6. | (a) Is this a "master fund" in a master-feeder arrangement? | 0 | • |
| | (b) If yes, what is the name and private fund identification number (if any) of the feeder funds investing in this private fund? | | |
| | No Information Filed | | |
| | | | |
| | | Yes | No |
| | (c) Is this a "feeder fund" in a master-feeder arrangement? | • | 0 |
| | (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of the Private Fund: TREMBLANT LONG MASTER FUND LP Private Fund Identification Number: (include the "805-" prefix also) 805-7667048430 | | |
| 7. | NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section for the master-feeder arrangement or reporting on the funds separately. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), fo the feeder funds answer the following questions: | | |
| | No Information Filed | | |
| | NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | | d |
| 8. | (a) Is this <i>private fund</i> a "fund of funds"? | 0 | ⊚ |
| | (b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? | \circ | 0 |
| | NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also <i>private funds</i> , or registered investment companies. | t | |
| | | Yes | No |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | 0 | ⊚ |
| 10. | . What type of fund is the <i>private fund</i> ? | | |
| | • hedge fund • liquidity fund • private equity fund • real estate fund • securitized asset fund • venture capital fund • Other private of the | te fun | nd |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 or Instructions to Part 1A. | f the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 153,553,186 | | |

| Ow | Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 46 of 74 | | |
|------------|---|-------|----|
| 12. | Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 1,000,000 | | |
| | NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund). | € | |
| 13. | Approximate number of the <i>private fund</i> 's beneficial owners: 6 | | |
| 14. | What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 7% | | |
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 8% | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 79% | | |
| You | ur Advisory Services | Yes | No |
| 17. | (a) Are you a subadviser to this <i>private fund</i> ? | 0 | • |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17(a) is "no," leave this question blank. | to | |
| | No Information Filed | | |
| | | Yes | No |
| 18. | (a) Do any other investment advisers advise the <i>private fund</i> ? | 0 | • |
| | (b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18(a) is "no," leave this question blank. | answe | er |
| | No Information Filed | | |
| | | Yes | No |
| 19. | Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | 0 | • |
| 20. | Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 0% | | |
| <u>Pri</u> | vate Offering | Yes | No |
| 21. | Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | o es | O |
| 22 | If you provide the private funds Form D file number (if any). | | |

22. If yes, provide the private fund's Form D file number (if any):

Form D file number

021-184107

B. SERVICE PROVIDERS

Auditors

23. (a) (1) Are the private fund's financial statements subject to an annual audit?

⊙ ⊙

(2) Are the financial statements prepared in accordance with U.S. GAAP?

⊙ ⊙

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

Additional Auditor Information: 1 Record(s) Filed.

If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the private fund uses more than one auditing firm, you must complete questions (b) through (f) separately for each auditing firm.

(b) Name of the auditing firm:

ERNST & YOUNG LTD

| | The loca@asethe: 4.5 imprint in the loca was i | | |
|--|---|-------------|-----|
| | GRAND CAYMAN Cayman Islands | | |
| | | Ye | s |
| (d) | Is the auditing firm an independent public accountant? | • | |
| (e) | Is the auditing firm registered with the Public Company Accounting Oversight Board? | • | |
| (f) | If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board accordance with its rules? | n © | |
| | | ١ | e' |
| Are th | ne private fund's audited financial statements distributed to the private fund's investors? | | • |
| Does | the report prepared by the auditing firm contain an unqualified opinion? | | |
| Ye | es C No C Report Not Yet Received | | |
| If you | I check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the r | port is av | ai |
| Broker | | , | 'e |
| Does | the <i>private fund</i> use one or more prime brokers? | | c |
| | than one prime broker, you must complete questions (b) through (e) below for each prime broker the <i>private fund</i> uses. If the part than one prime broker, you must complete questions (b) through (e) separately for each prime broker. | ivate fund | |
| | | | |
| If the | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses are custodian and private fund uses are custodian as a custodian and private fund uses. | | G |
| Does If the more | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? | | Œ |
| Does If the more | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. Itional Custodian Information: 1 Record(s) Filed. | e fund use | 6 |
| Does If the more Addi | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses and the private fund uses is the private fund uses. If the private fund uses is the private fund uses is the private fund uses. If the private fund uses is the private fund uses is the private fund uses. If the private fund uses is the private fund uses is the private fund use and use fund use fund uses is the private fund uses is the private fund use fund uses is the private fund uses. If the private fund uses is the private fund uses is the private fund uses is the private fund uses. | e fund use | 98 |
| Does If the more Addi | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. Itional Custodian Information : 1 Record(s) Filed. The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses. | e fund use | 95 |
| Does If the more Addi If the more (b) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. It ional Custodian Information: 1 Record(s) Filed. The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: | e fund use | 98 |
| Does If the more Addi If the more (b) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. Itional Custodian Information: 1 Record(s) Filed. The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>pri</i> are than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: | e fund use | 98 |
| Does If the more Addi If the more (b) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses and the private fund uses are to custodian, you must complete questions (b) through (f) separately for each custodian. Itional Custodian Information: 1 Record(s) Filed. The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses are to custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. | e fund use | es |
| Does If the more Addi If the more (b) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? e answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>priva</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. Itional Custodian Information : 1 Record(s) Filed. The answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private</i> than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office responsible for <i>custody</i> of the <i>private fund's</i> assets (city, state and country): | e fund us o | IS |
| Does If the more Addi If the more (b) (c) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private than one custodian</i> , you must complete questions (b) through (f) separately for each custodian. tional Custodian Information: 1 Record(s) Filed. the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> uses are than one custodian, you must complete questions (b) through (f) separately for each custodian. Legal name of custodian: JPMORGAN CHASE & CO. Primary business name of custodian: JPMORGAN CHASE & CO. The location of the custodian's office responsible for <i>custody</i> of the <i>private fund</i> 's assets (city, state and country): City: State: Country: | e fund use | es |
| Does If the more Addi If the more (b) (c) (d) | the <i>private fund</i> use any custodians (including the prime brokers listed above) to hold some or all of its assets? It answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the <i>private fund</i> uses. If the <i>private fund</i> | e fund use | e s |

26. (a) Does the $\ensuremath{\textit{private fund}}$ use an administrator other than your firm?

| Add | itional Administrator Information : 1 Record(s) Filed. |
|---|--|
| | the answer to 26(a) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one administrator, you muniplete questions (b) through (f) separately for each administrator. |
| (b) | Name of the administrator: CITCO FUND SERVICES (BERMUDA) LIMITED |
| (c) | Location of administrator (city, state and country): |
| | City: State: Country: HAMILTON Bermuda |
| | Yes N |
| (d) | Is the administrator a <i>related person</i> of your firm? |
| (e) | Does the administrator prepare and send investor account statements to the <i>private fund</i> 's investors? © Yes (provided to all investors) © Some (provided to some but not all investors) © No (provided to no investors) |
| (f) | If the answer to 26(e) is "no" or "some," who sends the investor account statements to the (rest of the) <i>private fund</i> 's investors? If investor account statements are not sent to the (rest of the) <i>private fund</i> 's investors, respond "not applicable." |
| elevant Ilocatio | only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including as) was the valuation determined by such person. |
| elevant illocatio eters a) Does You | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including as) was the valuation determined by such person. Ye the private fund use the services of someone other than you or your employees for marketing purposes? must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or |
| elevant illocatio eters a) Does You simil | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including as) was the valuation determined by such person. Ye the private fund use the services of someone other than you or your employees for marketing purposes? |
| elevant Ilocatio eters a) Does You simil | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including is) was the valuation determined by such person. Ye the private fund use the services of someone other than you or your employees for marketing purposes? must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or ar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If |
| elevant illocatio eters a) Does You simil | Ye the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes? must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the <i>private fund</i> uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed |
| elevant illocatio eters a) Does You simil prive | Ye the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes? must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the <i>private fund</i> uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed |
| elevant illocatio eters a) Doe: You simil prive VATE FL nation A | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including as) was the valuation determined by such person. Yethe private fund use the services of someone other than you or your employees for marketing purposes? The private fund use the services of someone other than you or your employees for marketing purposes? The private fund use the private fund uses as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, or ar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed No Information Filed The private fund: |
| elevant illocatio eters a) Doe: You simil priva VATE FL nation A TREN b) Priva (incl | the private fund use the services of someone other than you or your employees for marketing purposes? The private fund use the services of someone other than you or your employees for marketing purposes? The private fund use the services of someone other than you or your employees for marketing purposes? The private fund use the services of someone other than you or your employees for marketing purposes? The private fund uses marketing purposes or other solicitor, or other solicitor, or or person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed No Information Filed |
| elevant illocatio eters a) Doe: You simil prive VATE FU nation A a) Nam TREM b) Prive (incl 805- | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including is) was the valuation determined by such person. Yee the private fund use the services of someone other than you or your employees for marketing purposes? cust answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, of ar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed No bout the Private Fund e of the private fund: BLANT LONG MASTER FUND LP te fund identification number: due the "805-" prefix also) 7667048430 |
| elevant Illocatio eters a) Doe: You simil prive VATE FU nation A a) Nam TREM b) Prive (incl 805- | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including is) was the valuation determined by such person. Yee the private fund use the services of someone other than you or your employees for marketing purposes? must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, of ar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed No bout the Private Fund to of the private fund: BLANT LONG MASTER FUND LP the fund identification number: ide the "805-" prefix also) 7667048430 the laws of what state or country is the private fund organized: |
| elevant Illocatio eters a) Does You simil priva VATE FU nation I B) Priva (incl 805- Inder th State | quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including is) was the valuation determined by such person. Yee the private fund use the services of someone other than you or your employees for marketing purposes? The private fund uses the services of someone other than you or your employees for marketing purposes? The private fund uses the services of someone other than you or your employees for marketing purposes? The private fund uses a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, of air person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. If the fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. No Information Filed No Information Filed Disputch the Private Fund. BIBLANT LONG MASTER FUND LP the fund identification number: ude the "805-" prefix also) 7667048430 Be laws of what state or country is the private fund organized: Country: |

4. The private fund (check all that apply; you must check at least one):

| | | Company under section 3(c)(1) of the Investment Company Act of 1940 | | |
|-----------|---|--|--------|------|
| 5. | List the name and country, in English, of each foreign financial regula | atory authority with which the private fund is registered. | | |
| | No | Information Filed | | |
| , | (2) 1-11/2-11/2-11/2-11/2-11/2-11/2-11/2-11 | | Yes | |
| 6. | (a) Is this a "master fund" in a master-feeder arrangement? | (if any) of the feeder funds investing in this private fund | ⊚ | 0 |
| | (b) If yes, what is the name and <i>private fund</i> identification number Private Fund Name P | rivate Fund Identification Number | | |
| | | 05-2015757251 | | |
| | TREMBLANT LONG FUND LTD. 8 | 05-4299305808 | | |
| | | | ., | |
| | (c) Is this a "feeder fund" in a master-feeder arrangement? | | Yes | |
| | (d) If yes, what is the name and <i>private fund</i> identification number | (if any) of the master fund in which this <i>private fund</i> invests? | 0 | ⊚ |
| | Name of the <i>Private Fund</i> : | | | |
| | Private Fund Identification Number: | | | |
| | (include the "805-" prefix also) | | | |
| | | | | |
| | NOTE: You must complete question 6 for each master-feeder arrangement or reporting on the funds separate | gement regardless of whether you are filing a single Schedule D, Section 3 ately. | 7.B.(´ | 1). |
| 7. | If you are filing a single Schedule D, Section 7.B.(1) for a master-fee the feeder funds answer the following questions: | eder arrangement according to the instructions to this Section 7.B.(1), for | each | ı of |
| | No | Information Filed | | |
| 8. | assets in a single fund ("master fund"). A fund would also be a "fee | gement, one or more funds ("feeder funds") invest all or substantially all eder fund" investing in a "master fund" for purposes of this question if it is series) invests substantially all of its assets in a single master fund. | Yes | d |
| | (b) If yes, does the <i>private fund</i> invest in funds managed by you or | by a related person? | 0 | 0 |
| | NOTE: For purposes of this question only, answer "yes" if the fund vehicles, whether or not they are also <i>private funds</i> , or registered in | invests 10 percent or more of its total assets in other pooled investment ovestment companies. | _ | |
| _ | | | Yes | No |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities i Company Act of 1940 (other than "money market funds," to the ext | | 0 | • |
| 10. | . What type of fund is the <i>private fund</i> ? | | | |
| | $oldsymbol{\circ}$ hedge fund $oldsymbol{\circ}$ liquidity fund $oldsymbol{\circ}$ private equity fund $oldsymbol{\circ}$ real esta- | te fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other $\it privat$ | e fun | d |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fun</i> Instructions to Part 1A. | nd invests. For definitions of these fund types, please see Instruction 6 of | the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 294,147,067 | | | |
| <u>Ow</u> | vnership | | | |
| 12. | . Minimum investment commitment required of an investor in the priva | ate fund: | | |
| | \$ 1,000,000 NOTE: Report the amount routinely required of investors who are n organizational documents of the fund). | ot your related persons (even if different from the amount set forth in the | | |
| 13. | . Approximate number of the <i>private fund</i> 's beneficial owners: | | | |

| 14. | What is the approximate of companies of the process of the approximate of the process of the approximate of the process of the approximate of the | | | |
|-------------|---|----------|-------|--|
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 4% | | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 57% | | | |
| Υοι | ır Advisory Services | Va | s No | |
| 17. | (a) Are you a subadviser to this <i>private fund</i> ? | 0 | . ₩ | |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answ question 17(a) is "no," leave this question blank. | | • | |
| | No Information Filed | | | |
| | | Yes | s No | |
| 18. | (a) Do any other investment advisers advise the <i>private fund</i> ? | 0 | ⊚ | |
| | (b) If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If t to question 18(a) is "no," leave this question blank. | ne answ | er | |
| | No Information Filed | | | |
| 19. | Are your <i>clients</i> solicited to invest in the <i>private fund</i> ? | Ye: | S No | |
| 20. | Approximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? 13% | | | |
| <u>Priv</u> | vate Offering | ., | | |
| 21. | Does the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | Yes ⊙ | S No | |
| 22. | If yes, provide the <i>private fund</i> 's Form D file number (if any): | | | |
| | No Information Filed | | | |
| | ERVICE PROVIDERS | Vo | s No | |
| 23. | (a) (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | 0 | S 140 | |
| | (2) Are the financial statements prepared in accordance with U.S. GAAP? | • | 0 | |
| | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, complete questions (b) through (f) separately for each auditing firm. | | | |
| | Additional Auditor Information : 1 Record(s) Filed. | | | |
| | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm must complete questions (b) through (f) separately for each auditing firm. | , you | | |
| | (b) Name of the auditing firm: ERNST & YOUNG LTD | | | |
| | (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): City: GRAND CAYMAN Cayman Islands | | | |
| | | Yes | No | |
| | (d) Is the auditing firm an independent public accountant? | • | О | |
| | (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? | • | 0 | |
| | (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in | • | 0 | |

| | accordance with its rules? | | | | | | |
|---------|--|--|--|--|---------------------------------------|----------------------------|-------|
| | Case 1:15-mc-00417 | -LAK Docume | nt 3-21 File | d 12/23/15 | Page 51 of 74 | 4 | |
| | | | | | | Ye | es I |
| (g) Ar | e the <i>private fund</i> 's audited financial staten | nents distributed to th | ne <i>private fund</i> 's inv | vestors? | | • | 9 |
| h) Do | oes the report prepared by the auditing firm | n contain an unqualifi | ed opinion? | | | | |
| • | Yes C No C Report Not Yet Received | | | | | | |
| If | you check "Report Not Yet Received," you me | ust promptly file an am | nendment to your Fo | orm ADV to upda | te your response whei | n the report is avail | ilab |
| | | | | | | | |
| Bro | <u>ker</u> | | | | | | |
| | | handana? | | | | Ye | es |
| | pes the <i>private fund</i> use one or more prime | | (a) balan far and | | | • | |
| | the answer to 24(a) is "yes," respond to quore than one prime broker, you must comp | | | • | • | the <i>private runa</i> u | 126 |
| A | dditional Prime Broker Information: 1 R | ecord(s) Filed. | | | | | |
| - 11 | If the answer to 24(a) is "yes," respond to uses more than one prime broker, you mus | | | • | • | If the <i>private fund</i> | d |
| | (b) Name of the prime broker: MORGAN STANLEY & CO. LLC | | | | | | |
| | (c) If the prime broker is registered with the | he SEC, its registratio | n number: | | | | |
| | 8 - 15869 | | | | | | |
| | CRD Number (if any): | | | | | | |
| | 8209 | | | | | | |
| | (d) Location of prime broker's office used p | orincipally by the <i>priva</i> | ate fund (city, state | and country): | | | |
| | City: | State: | | ountry: | | | |
| | NEW YORK | New York | U | nited States | | | |
| | | | | | | Yes | N |
| | (e) Does this prime broker act as custodian | n for some or all of the | e <i>private fund</i> 's ass | sets? | | • | С |
| | | | | | | | |
| | | | | | | | |
| lian | | | | | | | |
| | | | | | | Ye | 25 |
| | oes the <i>private fund</i> use any custodians (inc | cluding the prime brok | cers listed above) t | o hold some or a | all of its assets? | • | ð |
|) Do | | | (f) f | custodian the pro | ivate fund uses. If the | e nrivate fund uses | |
| | the answer to 25(a) is "yes," respond to qu | uestions (b) through (| (i) below for each (| sacroaran ino pri | | private rana ases | S |
| lf | the answer to 25(a) is "yes," respond to quore than one custodian, you must complete | | | | | private rana uses | s |
| If m | ore than one custodian, you must complete | e questions (b) throug | | | | private rana ases | S |
| If m | | e questions (b) throug | | | | s private rana ases | S |
| If m | ore than one custodian, you must complete | e questions (b) throug | | | | s private rana ases | S |
| If m | ore than one custodian, you must complete | e questions (b) throug | gh (f) separately fo | r each custodian | | | |
| If m | ore than one custodian, you must complete dditional Custodian Information : 3 Reco | e questions (b) throught of the control of the cont | gh (f) separately for heach the separately for the separately for each heach the separately for each | r each custodian | <i>private fund</i> uses. If t | | |
| If m | dditional Custodian Information: 3 Reco | e questions (b) throught of the control of the cont | gh (f) separately for heach the separately for the separately for each heach the separately for each | r each custodian | <i>private fund</i> uses. If t | | |
| If m | dditional Custodian Information: 3 Reco | e questions (b) throught of the control of the cont | gh (f) separately for heach the separately for the separately for each heach the separately for each | r each custodian | <i>private fund</i> uses. If t | | |
| If mo | dditional Custodian Information: 3 Reco | e questions (b) throught of the control of the cont | gh (f) separately for heach the separately for the separately for each heach the separately for each | r each custodian | <i>private fund</i> uses. If t | | |
| If mo | dditional Custodian Information: 3 Reco | e questions (b) throught of the control of the cont | gh (f) separately for heach the separately for the separately for each heach the separately for each | r each custodian | <i>private fund</i> uses. If t | | |
| If mo | dditional Custodian Information: 3 Recollection of the answer to 25(a) is "yes," respond to more than one custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE & CO. | e questions (b) throught of the control of the cont | gh (f) separately for heach the separately for the separately for each heach the separately for each | r each custodian | <i>private fund</i> uses. If t | | |
| If m | dditional Custodian Information: 3 Recollection of the answer to 25(a) is "yes," respond to more than one custodian, you must complete (b) Legal name of custodian: JPMORGAN CHASE & CO. | e questions (b) through the questions (c) th | h (f) separately for h (f) below for each | r each custodian | <i>private fund</i> uses. If t an. | | |
| If mo | dditional Custodian Information: 3 Recol If the answer to 25(a) is "yes," respond to more than one custodian, you must comple (b) Legal name of custodian: JPMORGAN CHASE & CO. (c) Primary business name of custodian: JPMORGAN CHASE & CO. (d) The location of the custodian's office recity: | e questions (b) throughold (s) Filed. questions (b) throughete questions (b) through questions (c) throu | th (f) separately for head of the private fund | n custodian the for each custodian | <i>private fund</i> uses. If t an. | | |
| If mo | dditional Custodian Information: 3 Recol If the answer to 25(a) is "yes," respond to more than one custodian, you must comple (b) Legal name of custodian: JPMORGAN CHASE & CO. (c) Primary business name of custodian: JPMORGAN CHASE & CO. (d) The location of the custodian's office re- | e questions (b) throughold (s) Filed. questions (b) throughete questions (c) through the property of the prope | th (f) separately for head of the private fund | n custodian the for each custodian | <i>private fund</i> uses. If t an. | the <i>private fund</i> us | ses |
| If mo | dditional Custodian Information: 3 Reco If the answer to 25(a) is "yes," respond to more than one custodian, you must complet (b) Legal name of custodian: JPMORGAN CHASE & CO. (c) Primary business name of custodian: JPMORGAN CHASE & CO. (d) The location of the custodian's office recity: NEW YORK | e questions (b) through the questions (c) through the questions (d) th | th (f) separately for head of the private fund | n custodian the for each custodian | <i>private fund</i> uses. If t an. | | ses |
| If mo | dditional Custodian Information: 3 Recol If the answer to 25(a) is "yes," respond to more than one custodian, you must comple (b) Legal name of custodian: JPMORGAN CHASE & CO. (c) Primary business name of custodian: JPMORGAN CHASE & CO. (d) The location of the custodian's office recity: | e questions (b) through the questions (c) through the questions (d) th | th (f) separately for head of the private fund | n custodian the for each custodian | <i>private fund</i> uses. If t an. | the <i>private fund</i> us | ses |
| If mo | dditional Custodian Information: 3 Reco If the answer to 25(a) is "yes," respond to more than one custodian, you must complet (b) Legal name of custodian: JPMORGAN CHASE & CO. (c) Primary business name of custodian: JPMORGAN CHASE & CO. (d) The location of the custodian's office recity: NEW YORK | e questions (b) through the questions (c) through the questions (d) th | th (f) separately for head of the private fund | n custodian the for each custodian | <i>private fund</i> uses. If t an. | the <i>private fund</i> us | ses |
| If me | dditional Custodian Information: 3 Reco If the answer to 25(a) is "yes," respond to more than one custodian, you must complet (b) Legal name of custodian: JPMORGAN CHASE & CO. (c) Primary business name of custodian: JPMORGAN CHASE & CO. (d) The location of the custodian's office recity: NEW YORK | e questions (b) through the questions (c) through the questions (d) through the questions (e) th | th (f) separately for heach of the private fund Co | r each custodian n custodian the , for each custodian 's assets (city, sountry: nited States | <i>private fund</i> uses. If t an. | the <i>private fund</i> us | ses |

CRD Number (if any):

| Case 1:15 | -mc-00417-LAK Documer | nt 3-21 Filed 12/23/15 Page 52 of 7 | 4 |
|---|---|---|------------------------------|
| III | yes," respond to questions (b) through you must complete questions (b) throu | (f) below for each custodian the <i>private fund</i> uses. If gh (f) separately for each custodian. | the <i>private fund</i> uses |
| (b) Legal name of custodi MORGAN STANLEY & C | | | |
| (c) Primary business nam MORGAN STANLEY & C | | | |
| (d) The location of the cus | stodian's office responsible for <i>custody</i> (| of the <i>private fund</i> 's assets (city, state and country): | |
| City: NEW YORK | State: New York | Country: United States | |
| NEW YORK | New York | United States | Yes No |
| (e) Is the custodian a <i>rela</i> | ted person of your firm? | | 0 0 |
| (f) If the custodian is a bi | oker-dealer, provide its SEC registratio | n number (if any) | |
| 8 - 15869 | | | |
| CRD Number (if any): 8209 | | | |
| | | | |
| | yes," respond to questions (b) through you must complete questions (b) throu | (f) below for each custodian the <i>private fund</i> uses. If gh (f) separately for each custodian. | the <i>private fund</i> uses |
| (b) Legal name of custodi THE BANK OF NEW YO | | | |
| (c) Primary business nam | | | |
| (d) The location of the cus | stodian's office responsible for <i>custody</i> (| of the <i>private fund</i> 's assets (city, state and country): | |
| City: | State: | Country: | |
| NEW YORK | New York | United States | Yes No |
| (e) Is the custodian a rela | nted person of your firm? | | C @ |
| (f) If the custodian is a bi | oker-dealer, provide its SEC registratio | n number (if any) | |
| - CRD Number (if any): | | | |
| one number (ii arry). | | | |
| <u>strator</u> | | | |
| Does the <i>private fund</i> use an | administrator other than your firm? | | Yes N |
| | s," respond to questions (b) through (f ugh (f) separately for each administrato |) below. If the <i>private fund</i> uses more than one admin | ~ ~ |
| | nformation: 1 Record(s) Filed. | | |
| Additional Administrator 1 | normation i 1 Recora(5) i nea. | | |
| | yes," respond to questions (b) through rough (f) separately for each administra | (f) below. If the <i>private fund</i> uses more than one adm tor. | ninistrator, you must |
| (b) Name of the administr | | | |
| (c) Location of administra | tor (city, ctata and country) | | |
| (c) Location of administra City: | tor (city, state and country): State: | Country: | |
| HAMILTON | State. | Bermuda | |

| | | Va | . No | |
|-----------|-----------------------|---|-------|------------|
| | | (d) Is the a Case 1:15 mc 20417 Jakim Document 3-21 Filed 12/23/15 Page 53 of 74 | • | |
| | | (e) Does the administrator prepare and send investor account statements to the <i>private fund</i> 's investors? Yes (provided to all investors) Some (provided to some but not all investors) No (provided to no investors) | | |
| | | (f) If the answer to 26(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable." | lf | |
| | | | | |
| 27. | your 1009 Inclu | ude only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining ar vant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (includi | ıy | |
| | alloc | ations) was the valuation determined by such person. | | |
| <u>Ma</u> | rkete | <u>rs</u> | | _ |
| 28. | (a) | Does the <i>private fund</i> use the services of someone other than you or your <i>employees</i> for marketing purposes? | Yes I | lo © |
| | | You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor similar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the private fund uses. private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. | r, or | |
| | | No Information Filed | | |
| | | | | _ |
| | | | | |
| А. Р | RIVAI | E FUND | | |
| Info | ormati | ion About the <i>Private Fund</i> | | |
| 1. | (a) | Name of the <i>private fund</i> : | | |
| | | TREMBLANT PARTNERS LP | | |
| | ` , | Private fund identification number: | | |
| | | (include the "805-" prefix also) 805-4869174129 | | |
| | | | | |
| 2. | Unde | er the laws of what state or country is the <i>private fund</i> organized: | | |
| | | State: Country: | | |
| | | Delaware United States | | |
| 3. | Nam | e(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): | | |
| | | ne of General Partner, Manager, Trustee, or Director MBLANT HOLDINGS LLC | | |
| | IKE | MBLANT HOLDINGS LLC | | ┙ |
| 4. | The | private fund (check all that apply; you must check at least one): | | |
| | | (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1940 | | |
| | ~ | (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 1940 | | |
| 5. | List | the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | | No Information Filed | | |
| | | | Yes N | 0 |
| 6. | | Is this a "master fund" in a master-feeder arrangement? | 0 (| • |
| | (a) | If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? No Information Filed | | ٦ |
| | | | | _ |
| | | | Yes N | 0 |
| | (c) | Is this a "feeder fund" in a master-feeder arrangement? | 0 (| 2) |

| | Name of the Potts of the Potts of 15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 54 of 74 | | |
|-----------|---|---------|---------|
| | Private Fund Identification Number: (include the "805-" prefix also) | | |
| | NOTE: You must complete question 6 for each master-feeder arrangement regardless of whether you are filing a single Schedule D, Section 7 for the master-feeder arrangement or reporting on the funds separately. | '.B.(1) |). |
| 7. | If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for the feeder funds answer the following questions: | each | of |
| | No Information Filed | | |
| | NOTE: For purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially all or assets in a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if it is multiple classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | | |
| 0 | | Yes | |
| 8. | (a) Is this <i>private fund</i> a "fund of funds"? (b) If we does the private fund invest in funds managed by you at by a related percent. | _ | ⊙ |
| | (b) If yes, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? NOTE: For purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investment vehicles, whether or not they are also <i>private funds</i> , or registered investment companies. | 0 | 0 |
| | | Yes | No |
| 9. | During your last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment Company Act of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | 0 | • |
| 10. | What type of fund is the <i>private fund</i> ? | | |
| | • hedge fund O liquidity fund O private equity fund O real estate fund O securitized asset fund O venture capital fund O Other private | e funa | 1 |
| | NOTE: For funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 of Instructions to Part 1A. | the | |
| 11. | Current gross asset value of the <i>private fund</i> : \$ 392,095,830 | | |
| _ | | | |
| <u>Ow</u> | vnership | | |
| 12. | Minimum investment commitment required of an investor in the <i>private fund</i> : \$ 5,000,000 | | |
| | NOTE: Report the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in the organizational documents of the fund). | | |
| 13. | Approximate number of the <i>private fund's</i> beneficial owners: 43 | | |
| 14. | What is the approximate percentage of the <i>private fund</i> beneficially owned by you and your <i>related persons</i> : 8% | | |
| 15. | What is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: 60% | | |
| 16. | What is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : 3% | | |
| Υοι | ur Advisory Services | | |
| 17 | (a) Are you a subadviser to this <i>private fund</i> ? | Yes I | No ⊕ |
| | (b) If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer to | | • |

question 17(a) is "no," leave this question blank.

(d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests?

| | | No Information Filed | | |
|------|-----------|--|------------|-------|
| | | Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 55 of 74 | Ye | s No |
| 18. | (a) | Do any other investment advisers advise the <i>private fund</i> ? | С | • |
| | | If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If to question 18(a) is "no," leave this question blank. | the ansv | ver |
| | | No Information Filed | | |
| | | | Ye | s N |
| 9. | Are | your <i>clients</i> solicited to invest in the <i>private fund</i> ? | С | • |
| | App 0% | proximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? | | |
| riv | ate | Offering | | |
| 1. | Doe | es the private fund rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | Ye ⊙ | s No |
| 2 | If va | es, provide the <i>private fund</i> 's Form D file number (if any): | | |
| ۷. | _ | m D file number | | |
| | | 1-49024 | | |
| | | | | |
| . SE | RVI | CE PROVIDERS | | |
| | | | | |
| ud | itors | | | |
| 0 | (-) | (4) A II | | s N |
| 3. | | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | • | |
| | | (2) Are the financial statements prepared in accordance with U.S. GAAP? | • | |
| | | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, complete questions (b) through (f) separately for each auditing firm. | you mu | st |
| | | Additional Auditor Information : 1 Record(s) Filed. | | |
| | | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm must complete questions (b) through (f) separately for each auditing firm. | n, you | |
| | | (b) Name of the auditing firm: | | |
| | | ERNST & YOUNG LLP | | |
| | | | | |
| | | (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): | | |
| | | City: State: Country: NEW YORK New York United States | | |
| | | | Yes | No |
| | | (d) Is the auditing firm an independent public accountant? | • | 0 |
| | | (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? | • | 0 |
| | | (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in accordance with its rules? | • | 0 |
| | | | | |
| | | | Υe | s N |
| | | Are the <i>private fund</i> 's audited financial statements distributed to the <i>private fund</i> 's investors? | 0 | 0 |
| | (h) | Does the report prepared by the auditing firm contain an unqualified opinion? | | |
| | | © Yes O No O Report Not Yet Received | | ,, |
| | | If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report | rt is avai | iable |
| rin | ne B | <u>troker</u> | | |
| 4 | (c) | Does the private funduce one or more prime brokess? | | s N |
| .4. | (a) | Does the <i>private fund</i> use one or more prime brokers? | 0 | 0 |

If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses

more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

| Add | itional Prime Broker Information : 4 Record(s Case 1:15-mc-00417-LAK | | Filed 12/23/15 Page | 2.56 of 74 |
|------|--|-------------------------------------|---------------------------|------------|
| lf · | the answer to 24(a) is "yes," respond to questic | | _ | |
| | es more than one prime broker, you must comp | | · | • |
| (b) | Name of the prime broker: CREDIT SUISSE SECURITIES (USA) LLC | | | |
| | | | | |
| (c) | If the prime broker is registered with the SEC, 8 - 422 | , its registration number: | | |
| | CRD Number (if any): 816 | | | |
| (d) | Location of prime broker's office used principal | lly by the private fund (cit | y, state and country): | |
| | City: State NEW YORK New Y | | Country: United States | |
| | | | | Yes No |
| (e) | Does this prime broker act as custodian for so | me or all of the <i>private fu</i> | nd's assets? | © C |
| | | | | |
| | the answer to 24(a) is "yes," respond to questic es more than one prime broker, you must comp | | | • |
| (b) | Name of the prime broker: GOLDMAN, SACHS & CO. | | | |
| (c) | If the prime broker is registered with the SEC, 8 - 129 | , its registration number: | | |
| | CRD Number (if any): 361 | | | |
| (d) | Location of prime broker's office used principal | Ily by the <i>private fund</i> (cit | y, state and country): | |
| | City: State | | Country: | |
| | NEW YORK New Y | YORK | United States | Yes No |
| (e) | Does this prime broker act as custodian for so | ome or all of the private fu | nd's assets? | ⊙ ○ |
| | | | | |
| | the answer to 24(a) is "yes," respond to questices more than one prime broker, you must comp | | | • |
| (b) | Name of the prime broker: J.P. MORGAN SECURITIES LLC | | | |
| (c) | If the prime broker is registered with the SEC, 8 - 35008 | , its registration number: | | |
| | CRD Number (if any): | | | |
| (d) | Location of prime broker's office used principal | lly by the <i>private fund</i> (cit | y, state and country): | |
| | City: State NEW YORK New Y | | Country: United States | |
| | | | | Yes No |
| (e) | Does this prime broker act as custodian for so | me or all of the <i>private fu</i> | nd's assets? | ⊚ ○ |
| | | | | |
| | | | | |

If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the *private fund* uses. If the *private fund* uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker.

(b) Name of the prime broker:

| | If the prime broker is registe 8 - 15869 | ered with the SEC, its registratio | ın number: | |
|--|--|--|--|-----------------------------|
| | CRD Number (if any): 8209 | | | |
| (a) | | | oto fund (situ, ototo and aquatru). | |
| (a) | City: | State: | ate fund (city, state and country): Country: | |
| | NEW YORK | New York | United States | |
| | | | | Yes |
| (e) | Does this prime broker act a | is custodian for some or all of th | e private fund's assets? | • |
| <u>lian</u> | | | | |
|) D | | | least listed above) to held some or all of its constant | Y |
| | • | | kers listed above) to hold some or all of its assets? (f) below for each custodian the <i>private fund</i> uses. If t | the <i>private fund</i> use |
| | | | gh (f) separately for each custodian. | no private rana asc |
| Δddi | tional Custodian Information | n : 6 Record(s) Filed. | | |
| , taai | .ionar Guotoulan Imormatio | | | |
| 16.11 | | | | Edler multiple Employ |
| | · · · · · · · · · · · · · · · · · · · | | h (f) below for each custodian the <i>private fund</i> uses. If ough (f) separately for each custodian. | t the <i>private fund</i> u |
| | , , , , , , , , , , , , , , , , , , , | , , , , , , , , , , , , , , , , , , , | | |
| (b) | Legal name of custodian: | | | |
| | CREDIT SUISSE SECURITIES | (USA) LLC | | |
| | | | | |
| (c) | Primary business name of cu CREDIT SUISSE SECURITIES | | | |
| | 0.1251. 00.100 <u>2</u> 02.001.11.20 | (667.1) 226 | | |
| (d) | The location of the custodiar | n's office responsible for <i>custody</i> | of the private fund's assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | |
| (-) | | | | Yes |
| (e) | Is the custodian a related pe | rson of your firm? | | 0 |
| (f) | If the custodian is a broker- | dealer, provide its SEC registrati | ion number (if any) | |
| | II the custodian is a broker c | action, provide its of registration | on number (ii arry) | |
| | 8 - 422 | | | |
| | 8 - 422 CRD Number (if any): | | | |
| | | | | |
| | CRD Number (if any): | | | |
| | CRD Number (if any): | | | |
| | CRD Number (if any): 816 | espond to questions (b) through | h (f) below for each custodian the <i>private fund</i> uses. It | f the <i>private fund</i> u |
| lf ti | CRD Number (if any): 816 ne answer to 25(a) is "yes," r | | h (f) below for each custodian the <i>private fund</i> uses. It ough (f) separately for each custodian. | f the <i>private fund</i> u |
| If the most | CRD Number (if any): 816 ne answer to 25(a) is "yes," re than one custodian, you m | | • | f the <i>private fund</i> u |
| If the most | CRD Number (if any): 816 ne answer to 25(a) is "yes," re than one custodian, you m Legal name of custodian: | | • | f the <i>private fund</i> u |
| If the most | CRD Number (if any): 816 ne answer to 25(a) is "yes," re than one custodian, you m | | • | f the <i>private fund</i> u |
| If the most | CRD Number (if any): 816 ne answer to 25(a) is "yes," re than one custodian, you m Legal name of custodian: | nust complete questions (b) thro | • | f the <i>private fund</i> u |
| If the most | CRD Number (if any): 816 ne answer to 25(a) is "yes," re than one custodian, you m Legal name of custodian: GOLDMAN, SACHS & CO. | nust complete questions (b) thro | • | f the <i>private fund</i> u |
| If the most | cRD Number (if any): 816 The answer to 25(a) is "yes," re than one custodian, you me Legal name of custodian: GOLDMAN, SACHS & CO. Primary business name of custodian | nust complete questions (b) thro | • | f the <i>private fund</i> u |
| If the moon of the | crown need answer to 25(a) is "yes," rethan one custodian, you multiple than one custodian: GOLDMAN, SACHS & CO. Primary business name of custodian: GOLDMAN, SACHS & CO. | ust complete questions (b) through | ough (f) separately for each custodian. Yof the <i>private fund</i> 's assets (city, state and country): | f the <i>private fund</i> u |
| If the moon of the | crown need answer to 25(a) is "yes," rethan one custodian, you multiple than one custodian: GOLDMAN, SACHS & CO. Primary business name of custodian: GOLDMAN, SACHS & CO. | ust complete questions (b) through | ough (f) separately for each custodian. Y of the <i>private fund's</i> assets (city, state and country): Country: | f the <i>private fund</i> u |
| If the moon of the | creamswer to 25(a) is "yes," rethan one custodian, you multiple. Legal name of custodian: GOLDMAN, SACHS & CO. Primary business name of custodian. GOLDMAN, SACHS & CO. | nust complete questions (b) throughout the complete questions (b) throughout the complete questions (b) through the complete questions (b) through the complete questions (c) through the complete question (c) through the complete qu | ough (f) separately for each custodian. Yof the <i>private fund</i> 's assets (city, state and country): | |
| If the moon of the control of the co | creamswer to 25(a) is "yes," rethan one custodian, you multiple. Legal name of custodian: GOLDMAN, SACHS & CO. Primary business name of custodian. GOLDMAN, SACHS & CO. | nust complete questions (b) throughout the complete questions (b) throughout the complete questions (b) through the complete questions (c) through the complete questions (c) through the complete questions (c) through the complete questions (d) through the complete questions (d) through the complete questions (e) through the complete question (e) through the complet | ough (f) separately for each custodian. Y of the <i>private fund's</i> assets (city, state and country): Country: | |
| If the moon of the control of the co | creamswer to 25(a) is "yes," rethan one custodian; goldman, SACHS & CO. Primary business name of custodian; GOLDMAN, SACHS & CO. The location of the custodian city: NEW YORK | nust complete questions (b) throughout the complete questions (b) throughout the complete questions (b) through the complete questions (c) through the complete questions (c) through the complete questions (c) through the complete questions (d) through the complete questions (d) through the complete questions (e) through the complete question (e) through the complet | ough (f) separately for each custodian. Y of the <i>private fund's</i> assets (city, state and country): Country: | Yes |
| If the model (b) (c) (d) (e) | creamswer to 25(a) is "yes," rethan one custodian; goldman, sachs & co. Primary business name of custodian; GOLDMAN, SACHS & CO. The location of the custodian city: NEW YORK | nust complete questions (b) throughout the complete questions (b) throughout the complete questions (b) through the complete questions (c) through the complete questions (c) through the complete questions (c) through the complete questions (d) through the complete questions (d) through the complete questions (e) through the complete question (e) through the complet | ough (f) separately for each custodian. Yof the <i>private fund</i> 's assets (city, state and country): Country: United States | Yes |
| If the model (b) (c) (d) (e) | creamswer to 25(a) is "yes," rethan one custodian; goldman, sachs & co. Primary business name of custodian; GOLDMAN, SACHS & CO. The location of the custodian city: NEW YORK | sust complete questions (b) throughout the complete questions (b) through the complete questions (b) through the custodian: State: New York Person of your firm? | ough (f) separately for each custodian. Yof the <i>private fund</i> 's assets (city, state and country): Country: United States | Yes |

MORGAN STANLEY & CO. LLC

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| | ne answer to 25(a) is "yes," respond to re than one custodian, you must compl | • | r each custodian the <i>private fund</i> uses. If the <i>private fund</i> u ately for each custodian. | ıses |
|-----|--|--|--|------|
| (b) | Legal name of custodian: J.P. MORGAN SECURITIES LLC | | | |
| (c) | Primary business name of custodian: J.P. MORGAN SECURITIES LLC | | | |
| (d) | | | e fund's assets (city, state and country): | |
| | City: NEW YORK | State: New York | Country: United States | |
| | | | | s No |
| (e) | Is the custodian a related person of you | ur firm? | o | • |
| (f) | If the custodian is a broker-dealer, pro 8 - 35008 | ovide its SEC registration number (if | fany) | |
| | CRD Number (if any): | | | |
| | | | | |
| | ne answer to 25(a) is "yes," respond to e than one custodian, you must compl | | r each custodian the <i>private fund</i> uses. If the <i>private fund</i> u ately for each custodian. | ıses |
| (b) | Legal name of custodian: JPMORGAN CHASE & CO. | | | |
| (c) | Primary business name of custodian: JPMORGAN CHASE & CO. | | | |
| (d) | | | e fund's assets (city, state and country): | |
| | City: NEW YORK | State: New York | Country: United States | |
| | | | Ye | s No |
| (e) | Is the custodian a related person of you | ur firm? | o | ⊙ |
| (f) | If the custodian is a broker-dealer, pro | ovide its SEC registration number (if | f any) | |
| | CRD Number (if any): | | | |
| | | | | |
| | ne answer to 25(a) is "yes," respond to re than one custodian, you must compl | | r each custodian the <i>private fund</i> uses. If the <i>private fund</i> u ately for each custodian. | ıses |
| (b) | Legal name of custodian: MORGAN STANLEY & CO. LLC | | | |
| (c) | Primary business name of custodian: MORGAN STANLEY & CO. LLC | | | |
| (d) | The location of the custodian's office r | responsible for <i>custody</i> of the <i>private</i> | e fund's assets (city, state and country): | |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | |
| | | | Yes | s No |
| (e) | Is the custodian a related person of you | ur tirm? | 0 | ⊚ |

(f) If the custodian is a broker-dealer, provide its SEC registration number (if any)

| | " respond to questions (b) through (f) must complete questions (b) through (| below for each custodian the <i>private fund</i> uses. If the separately for each custodian. | he <i>private fund</i> |
|---|---|--|------------------------|
| (b) Legal name of custodian: THE BANK OF NEW YORK N | MELLON | | |
| (c) Primary business name of THE BANK OF NEW YORK N | | | |
| (d) The location of the custod | ian's office responsible for custody of th | ne private fund's assets (city, state and country): | |
| City: | State: | Country: | |
| NEW YORK | New York | United States | |
| (a) le the quetodien e related | percent of your firm? | | Υ |
| (e) Is the custodian a related | person of your firm? | | (|
| (f) If the custodian is a broke | er-dealer, provide its SEC registration nu | umber (if any) | |
| - CRD Number (if any): | | | |
| Does the <i>private fund</i> use an add If the answer to 26(a) is "yes," complete questions (b) through | (f) separately for each administrator. | low. If the <i>private fund</i> uses more than one adminis | strator, you m |
| Does the <i>private fund</i> use an add If the answer to 26(a) is "yes," | respond to questions (b) through (f) be (f) separately for each administrator. | rlow. If the <i>private fund</i> uses more than one adminis | strator, you m |
| Does the <i>private fund</i> use an add If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Info | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. | below. If the <i>private fund</i> uses more than one admi | • |
| If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Info | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. | below. If the <i>private fund</i> uses more than one admi | · |
| Does the <i>private fund</i> use an additional Administrator Info | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. :: | below. If the <i>private fund</i> uses more than one admi | • |
| Does the <i>private fund</i> use an additional Administrator Information (b) through Additional Administrator Information (b) If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (U | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. SA) INC. | below. If the <i>private fund</i> uses more than one admi | • |
| Does the <i>private fund</i> use an add If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Inform If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. SA) INC. | below. If the <i>private fund</i> uses more than one admi | • |
| Does the <i>private fund</i> use an additional Administrator Information If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Information If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (U | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. SA) INC. (city, state and country): | below. If the <i>private fund</i> uses more than one admi | • |
| Does the <i>private fund</i> use an additional Administrator Information If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Information If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (U) (c) Location of administrator City: CHARLOTTE | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. SA) INC. (city, state and country): State: North Carolina | below. If the <i>private fund</i> uses more than one admi Country: | nistrator, you |
| Does the <i>private fund</i> use an additional Administrator Information If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Information If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (U) (c) Location of administrator City: | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. SA) INC. (city, state and country): State: North Carolina | below. If the <i>private fund</i> uses more than one admi Country: | nistrator, you |
| Does the <i>private fund</i> use an additional Administrator Information If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Information If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (U) (c) Location of administrator City: CHARLOTTE (d) Is the administrator a relational relationship in the complete of the comp | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. SA) INC. (city, state and country): State: North Carolina | below. If the <i>private fund</i> uses more than one admi Country: United States | nistrator, you |
| Does the <i>private fund</i> use an additional Administrator Information If the answer to 26(a) is "yes," complete questions (b) through Additional Administrator Information If the answer to 26(a) is "yes, complete questions (b) through (b) Name of the administrator CITCO FUND SERVICES (U) (c) Location of administrator City: CHARLOTTE (d) Is the administrator a relational relationship of the administrator a relationship of the administrator private in the private function of the administrator private in the administrator and the administrator are administrator private in the administrator and the administrator are administrator and the admin | respond to questions (b) through (f) be (f) separately for each administrator. rmation: 1 Record(s) Filed. " respond to questions (b) through (f) th (f) separately for each administrator. "SA) INC. (city, state and country): State: North Carolina ated person of your firm? | below. If the <i>private fund</i> uses more than one admi Country: United States | · |

100% Include only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any

relevant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including allocations) was the valuation determined by such person.

Marketers

8 - 15869

| TREMBLANT PARTNERS MASTER FUND LP (b) Private fund identification number: (include the "805-" prefix also) 805-2438766189 2. Under the laws of what state or country is the private fund organized: State: Country: Cayman Islands 3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee, or Director TREMBLANT HOLDINGS LLC 4. The private fund (check all that apply; you must check at least one): □ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of □ (2) qualifies for the exclusion from the definition of investment company under section 3(c) | |
|--|---------------|
| State: Country: Cayman Islands 3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee, or Director TREMBLANT HOLDINGS LLC 4. The private fund (check all that apply; you must check at least one): (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1. (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 2. 5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | |
| Cayman Islands 3. Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): Name of General Partner, Manager, Trustee, or Director TREMBLANT HOLDINGS LLC 4. The private fund (check all that apply; you must check at least one): ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of 1. ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of 2. 5. List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | |
| Name of General Partner, Manager, Trustee, or Director TREMBLANT HOLDINGS LLC 4. The <i>private fund</i> (check all that apply; you must check at least one): ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of ☐ (2) the Investment Company Act of ☐ (3) the Investment Company Act of ☐ (4) the Investment Company Act of ☐ (5) the Investment Company Act of ☐ (6) the Investment Company Act of ☐ (7) the Investment Company Act of ☐ (8) the Investment Company Act of ☐ (9) the Investment Company Act of ☐ (1) the Investment Company Act of ☐ (1) the Investment Company Act of ☐ (2) the Investment Company Act of ☐ (3) the Investment Company Act of ☐ (4) the Investment Company Act of ☐ (5) the Investment Company Act of ☐ (6) the Investment Company Act of ☐ (8) t | |
| ☐ (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act of ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of ☐ (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act of ☐ (3) 5. List the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>private fund</i> is registered. | |
| Cayman Islands - Cayman Islands Monetary Authority | |
| Cayman Islands - Cayman Islands Monetary Admonty | Yes No |
| 6. (a) Is this a "master fund" in a master-feeder arrangement? | ⊙ ○ |
| (b) If yes, what is the name and <i>private fund</i> identification number (if any) of the feeder funds investing in this <i>private fund</i> ? Private Fund Name Private Fund Identification Number | |
| TREMBLANT PARTNERS LTD. 805-3003665746 | |
| | |
| (c) Is this a "feeder fund" in a master-feeder arrangement? (d) If yes, what is the name and private fund identification number (if any) of the master fund in which this private fund invests? Name of the Private Fund: Private Fund Identification Number: | Yes No ○ ⊙ |

7. If you are filing a single Schedule D, Section 7.B.(1) for a master-feeder arrangement according to the instructions to this Section 7.B.(1), for

each of the feeder funds answer the following questions:

Yes No

| | (a) | Name of the private fund: TREMBLA TRE | | |
|-----------|------------|--|---------|------|
| | (b) | Private fund identification number: | | |
| | | (include the "805-" prefix also) | | |
| | | 805-3003665746 | | |
| | (c) | Under the laws of what state or country is the <i>private fund</i> organized: | | |
| | | State: Country: | | |
| | | Cayman Islands | | |
| | (d) | Name(s) of General Partner, Manager, Trustee, or Directors (or persons serving in a similar capacity): | | |
| | | Name of General Partner, Manager, Trustee, or Director | | |
| | | BRETT BARAKETT | | 411 |
| | | BRIAN WOLF | | 411 |
| | | JUAN BOSCH | | - 11 |
| | | MARTIN BYRNE | | 4 |
| | | PETER BARAKETT | | _ |
| | (e) | The private fund (check all that apply; you must check at least one): | | |
| | | \Box (1) qualifies for the exclusion from the definition of investment company under section 3(c)(1) of the Investment Company Act 1940 | t of | |
| | | (2) qualifies for the exclusion from the definition of investment company under section 3(c)(7) of the Investment Company Act | t of | |
| | | 1940 | | |
| | (f) | List the name and country, in English, of each foreign financial regulatory authority with which the private fund is registered. | | |
| | | Name of Country/English Name of Foreign Financial Regulatory Authority | | |
| | | Cayman Islands - Cayman Islands Monetary Authority | | J |
| | assets in | or purposes of questions 6 and 7, in a master-feeder arrangement, one or more funds ("feeder funds") invest all or substantially a a single fund ("master fund"). A fund would also be a "feeder fund" investing in a "master fund" for purposes of this question if i classes (or series) of shares or interests, and each class (or series) invests substantially all of its assets in a single master fund. | | |
| | | | Yes | No |
| 8. | (a) Is th | is <i>private fund</i> a "fund of funds"? | 0 | ⊚ |
| | (b) If ye | s, does the <i>private fund</i> invest in funds managed by you or by a <i>related person</i> ? | 0 | 0 |
| | | or purposes of this question only, answer "yes" if the fund invests 10 percent or more of its total assets in other pooled investmen whether or not they are also <i>private funds</i> , or registered investment companies. | nt | |
| | | | Yes | No |
| 9. | | our last fiscal year, did the <i>private fund</i> invest in securities issued by investment companies registered under the Investment vact of 1940 (other than "money market funds," to the extent provided in Instruction 6.e.)? | 0 | • |
| 10. | What typ | be of fund is the private fund? | | |
| | hedge | e fund $^{f C}$ liquidity fund $^{f C}$ private equity fund $^{f C}$ real estate fund $^{f C}$ securitized asset fund $^{f C}$ venture capital fund $^{f C}$ Other <i>priv</i> | ate fun | d |
| | | or funds of funds, refer to the funds in which the <i>private fund</i> invests. For definitions of these fund types, please see Instruction 6 ons to Part 1A. | of the | |
| 11. | Current (| gross asset value of the <i>private fund</i> : 3,435 | | |
| <u>Ow</u> | nership | | | |
| 12. | Minimum | investment commitment required of an investor in the private fund: | | |
| | A F 000 | | | |
| | \$ 5,000,0 | 000 eport the amount routinely required of investors who are not your <i>related persons</i> (even if different from the amount set forth in th | | |

8.

66

13. Approximate number of the *private fund*'s beneficial owners:

| 14. | Wha | ut is the appro ்ழக்க ூர் <u>ட்டு age of 004/1</u> 1/24ட Ark(be <mark>மெய்யாளி</mark> ட்டு <mark>ஆட</mark> ்பிய aFril ஓவிர1 <i>24/23/165ons</i> Page 62 of 74 | | |
|------------|--------|---|-------|---------|
| 15. | Wha | It is the approximate percentage of the <i>private fund</i> beneficially owned (in the aggregate) by funds of funds: | | |
| 16. | Wha | at is the approximate percentage of the <i>private fund</i> beneficially owned by non- <i>United States persons</i> : | | |
| Yo | ır Ad | visory Services | V | N. |
| 17. | (a) | Are you a subadviser to this <i>private fund</i> ? | O | No ⊙ |
| | (b) | If the answer to question 17(a) is "yes," provide the name and SEC file number, if any, of the adviser of the <i>private fund</i> . If the answer question 17(a) is "no," leave this question blank. | _ | ٠ |
| | | No Information Filed | | |
| | | | Yes | No |
| 18. | (a) | Do any other investment advisers advise the <i>private fund</i> ? | 0 | ⊚ |
| | | If the answer to question 18(a) is "yes," provide the name and SEC file number, if any, of the other advisers to the <i>private fund</i> . If the to question 18(a) is "no," leave this question blank. | answ | er |
| | | No Information Filed | | |
| 19. | Are | your <i>clients</i> solicited to invest in the <i>private fund</i> ? | Yes | No C |
| 20. | Appr | roximately what percentage of your <i>clients</i> has invested in the <i>private fund</i> ? | | |
| <u>Pri</u> | vate (| Offering | | |
| | | | Yes | No |
| 21. | Does | s the <i>private fund</i> rely on an exemption from registration of its securities under Regulation D of the Securities Act of 1933? | • | 0 |
| 22. | If ye | es, provide the <i>private fund</i> 's Form D file number (if any): | | |
| | | No Information Filed | | |
| B. S | ERVIC | CE PROVIDERS | | |
| Au | ditors | | | |
| 2.55 | | | Yes | s No |
| 23. | (a) | (1) Are the <i>private fund</i> 's financial statements subject to an annual audit? | • | 0 |
| | | (2) Are the financial statements prepared in accordance with U.S. GAAP? | • | \circ |
| | | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, ye complete questions (b) through (f) separately for each auditing firm. | u mus | t |
| | | Additional Auditor Information: 1 Record(s) Filed. | | |
| | | If the answer to 23(a)(1) is "yes," respond to questions (b) through (f) below. If the <i>private fund</i> uses more than one auditing firm, must complete questions (b) through (f) separately for each auditing firm. | you | |
| | | (b) Name of the auditing firm: ERNST & YOUNG LTD | | |
| | | (c) The location of the auditing firm's office responsible for the <i>private fund</i> 's audit (city, state and country): City: State: Country: GRAND CAYMAN Cayman Islands | | |
| | | Grand Garrian Islands | Yes | No |
| | | (d) Is the auditing firm an independent public accountant? | _ | 0 |
| | | (e) Is the auditing firm registered with the Public Company Accounting Oversight Board? | | 0 |
| | | (f) If "yes" to (e) above, is the auditing firm subject to regular inspection by the Public Company Accounting Oversight Board in | • | |

accordance with its rules? Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 63 of 74 Yes No (g) Are the private fund's audited financial statements distributed to the private fund's investors? ⊙ (h) Does the report prepared by the auditing firm contain an unqualified opinion? Yes ○ No ○ Report Not Yet Received If you check "Report Not Yet Received," you must promptly file an amendment to your Form ADV to update your response when the report is available. **Prime Broker** Yes No 24. (a) Does the private fund use one or more prime brokers? If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. Additional Prime Broker Information: 4 Record(s) Filed. If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: CREDIT SUISSE SECURITIES (USA) LLC (c) If the prime broker is registered with the SEC, its registration number: 8 - 422 CRD Number (if any): 816 (d) Location of prime broker's office used principally by the private fund (city, state and country): State: Country: **NEW YORK** New York **United States** Yes No (e) Does this prime broker act as custodian for some or all of the private fund's assets? \circ If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: GOLDMAN, SACHS & CO. (c) If the prime broker is registered with the SEC, its registration number: 8 - 129 CRD Number (if any): 361 (d) Location of prime broker's office used principally by the private fund (city, state and country): City: State: Country: **NEW YORK** New York **United States** Yes No (e) Does this prime broker act as custodian for some or all of the private fund's assets? ⊙ ⊙ If the answer to 24(a) is "yes," respond to questions (b) through (e) below for each prime broker the private fund uses. If the private fund uses more than one prime broker, you must complete questions (b) through (e) separately for each prime broker. (b) Name of the prime broker: J.P. MORGAN SECURITIES LLC

(c) If the prime broker is registered with the SEC, its registration number:

8 - 35008

| (0) ==================================== | s office used principally by the private | e fund (city, state and country): | |
|---|--|--|------------------------------|
| City: | State: New York | Country: United States | |
| NEW YORK | New York | United States | Y |
| (e) Does this prime broker ac | et as custodian for some or all of the | private fund's assets? | |
| | | | |
| 1 | | (e) below for each prime broker the private fund ub) through (e) separately for each prime broker. | ses. If the <i>private t</i> |
| (b) Name of the prime broker MORGAN STANLEY & CO. | | | |
| 8 - 15869 | istered with the SEC, its registration | number: | |
| CRD Number (if any): 8209 | | | |
| , | s office used principally by the private | | |
| City: NEW YORK | State: New York | Country: United States | |
| | | | Y |
| | | | |
| <u>n</u> | | | |
| _ | ustodians (including the prime broke | rs listed above) to hold some or all of its assets? | |
| Does the <i>private fund</i> use any c f the answer to 25(a) is "yes," | | rs listed above) to hold some or all of its assets? below for each custodian the <i>private fund</i> uses. It (f) separately for each custodian. | f the <i>private fund</i> u |
| Does the <i>private fund</i> use any c If the answer to 25(a) is "yes," | respond to questions (b) through (f) nust complete questions (b) through | below for each custodian the <i>private fund</i> uses. It | f the <i>private fund</i> u |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remain the answer to 25(a) is "yes more than one custodian, you have than one custodian, you to be be a support to 25(a) is "yes more than one custodian, you to be be a support to 25(b) Legal name of custodian: | respond to questions (b) through (f) nust complete questions (b) through tion: 6 Record(s) Filed. The property of the complete questions (b) through a must complete questions (b) through the complete questions (b) through | below for each custodian the <i>private fund</i> uses. In (f) separately for each custodian. (f) below for each custodian the <i>private fund</i> uses. | |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remain the answer to 25(a) is "yes more than one custodian, you | respond to questions (b) through (f) nust complete questions (b) through tion: 6 Record(s) Filed. The property of the complete questions (b) through a must complete questions (b) through the complete questions (b) through | below for each custodian the <i>private fund</i> uses. In (f) separately for each custodian. (f) below for each custodian the <i>private fund</i> uses. | |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remain the answer to 25(a) is "yes more than one custodian, you have than one custodian, you to be be a support to 25(a) is "yes more than one custodian, you to be be a support to 25(b) Legal name of custodian: | respond to questions (b) through (f) nust complete questions (b) through tion: 6 Record(s) Filed. i," respond to questions (b) through a must complete questions (b) through the first complete questions (b) through the first control of the | below for each custodian the <i>private fund</i> uses. In (f) separately for each custodian. (f) below for each custodian the <i>private fund</i> uses. | |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remove than one custodian Informa If the answer to 25(a) is "yes more than one custodian, you to be Legal name of custodian: CREDIT SUISSE SECURITI (c) Primary business name of CREDIT SUISSE SECURITI (d) The location of the custodian: City: | respond to questions (b) through (f, nust complete questions (b) through tion: 6 Record(s) Filed. "" respond to questions (b) through a must complete questions (b) through the first through through the first through through the first through the first through the first through through the first through through the first through the first through through the first through through the first through the first through the first through through the first through through the first through through the first through through the first through the first through the first through the first through through through the first through through the first through through the first through the first through through through through the first through through through the first through through through through the f | below for each custodian the <i>private fund</i> uses. It is separately for each custodian. (f) below for each custodian the <i>private fund</i> uses on the separately for each custodian. If the <i>private fund</i> 's assets (city, state and country) Country: | . If the <i>private fund</i> |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remark that one custodian informated and the answer to 25(a) is "yes more than one custodian, you (b) Legal name of custodian: CREDIT SUISSE SECURITIC. (c) Primary business name of CREDIT SUISSE SECURITIC. (d) The location of the custodian is calculated as a contract of the custodia | respond to questions (b) through (f, nust complete questions (b) through tion: 6 Record(s) Filed. "respond to questions (b) through a must complete questions (b) through the first complete questions (b) through the first custodian: ES (USA) LLC dian's office responsible for custody of the first cust | below for each custodian the <i>private fund</i> uses. It is separately for each custodian. (f) below for each custodian the <i>private fund</i> uses by the first of the private fund uses and the private fund uses the first of the private fund's assets (city, state and country). | If the <i>private fund</i> |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remove than one custodian Informa If the answer to 25(a) is "yes more than one custodian, you to be Legal name of custodian: CREDIT SUISSE SECURITI (c) Primary business name of CREDIT SUISSE SECURITI (d) The location of the custodian: City: | respond to questions (b) through (f) nust complete questions (b) through tion: 6 Record(s) Filed. "" respond to questions (b) through must complete questions (b) through the formula complete questions (c) through the formula complete quest | below for each custodian the <i>private fund</i> uses. It is separately for each custodian. (f) below for each custodian the <i>private fund</i> uses on the separately for each custodian. If the <i>private fund</i> 's assets (city, state and country) Country: | . If the <i>private fund</i> |
| Does the <i>private fund</i> use any colf the answer to 25(a) is "yes," more than one custodian, you remark that one custodian informated and the answer to 25(a) is "yes more than one custodian, you will be a supported by the answer to 25(a) is "yes more than one custodian, you will be a supported by the answer to 25(a) is "yes more than one custodian, you will be a supported by the answer to 25(a) is "yes more than one custodian, you will be a supported by the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes more than one custodian; or creating the answer to 25(a) is "yes m | respond to questions (b) through (f) nust complete questions (b) through tion: 6 Record(s) Filed. "" respond to questions (b) through must complete questions (b) through the formula complete questions (c) through the formula complete quest | below for each custodian the <i>private fund</i> uses. In (f) separately for each custodian. (f) below for each custodian the <i>private fund</i> uses on (f) separately for each custodian. If the <i>private fund</i> 's assets (city, state and country) Country: United States | If the <i>private fund</i> |

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the $private\ fund\ uses$. If the $private\ fund\ uses$

more than one custodian, you must complete questions (b) through (f) separately for each custodian.

| (a) | GOLDMACASEH1.15-mc-00417- | -LAK Document 3-21 F | iled 12/23/15 | Page 65 of 74 | |
|-----|--|---|------------------------|--------------------|---------|
| (c) | Primary business name of custodian: GOLDMAN, SACHS & CO. | | | | |
| (d) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>private t</i> | fund's assets (city, s | tate and country): | |
| | City: | State: | Country: | | |
| | NEW YORK | New York | United States | | |
| (e) | Is the custodian a related person of you | ır firm? | | | Yes No |
| (f) | If the custodian is a broker-dealer, prov8 - 129 | vide its SEC registration number (if a | nny) | | |
| | CRD Number (if any): 361 | | | | |
| | | | | | |
| mo | the answer to 25(a) is "yes," respond to re than one custodian, you must comple Legal name of custodian: | | | • | nd uses |
| | J.P. MORGAN SECURITIES LLC | | | | |
| (c) | Primary business name of custodian: J.P. MORGAN SECURITIES LLC | | | | |
| (d) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>private t</i> | funds assets (city s | tate and country): | |
| (4) | City: | State: | Country: | are and ocumy). | |
| | NEW YORK | New York | United States | | |
| | | | | | Yes No |
| (e) | Is the custodian a related person of you | ir tirm? | | | 0 0 |
| (f) | If the custodian is a broker-dealer, prov8 - 35008 | vide its SEC registration number (if a | iny) | | |
| | CRD Number (if any): | | | | |
| | 79 | | | | |
| | | | | | |
| | he answer to 25(a) is "yes," respond to re than one custodian, you must comple | | | • | nd uses |
| (b) | Legal name of custodian: JPMORGAN CHASE & CO. | | | | |
| (c) | Primary business name of custodian: JPMORGAN CHASE & CO. | | | | |
| (4) | The location of the custodian's office re | esponsible for <i>custody</i> of the <i>private t</i> | funds assets (city s | tate and country). | |
| (u) | City: | State: | Country: | tate and country). | |
| | NEW YORK | New York | United States | | |
| | | | | | Yes No |
| (e) | Is the custodian a related person of you | ır tirm? | | | ○ ⊙ |
| (f) | If the custodian is a broker-dealer, prov- | vide its SEC registration number (if a | iny) | | |
| | CRD Number (if any): | | | | |
| | | | | | |

If the answer to 25(a) is "yes," respond to questions (b) through (f) below for each custodian the private fund uses. If the private fund uses

| mor | re than one custodian, you must con | | (f) separately for each custodia 3-21 Filed 12/23/15 | |
|-------|---|--|---|---|
| (b) | Legal name of custodian: | LAR Document | 7 ZI T IICU 12/23/13 | 1 age 00 01 74 |
| | MORGAN STANLEY & CO. LLC | | | |
| (c) | Primary business name of custodiar MORGAN STANLEY & CO. LLC | n: | | |
| (d) | The location of the custodian's office | e responsible for <i>custody</i> of th | ne <i>private fund</i> 's assets (city, s | tate and country): |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | |
| (e) | Is the custodian a <i>related person</i> of | vour firm? | | Yes No |
| | , | | | 0 0 |
| (f) | If the custodian is a broker-dealer, I | provide its SEC registration nu | umber (if any) | |
| | 8 - 15869 | | | |
| | CRD Number (if any): 8209 | | | |
| | ne answer to 25(a) is "yes," respond re than one custodian, you must com | _ | | private fund uses. If the private fund uses |
| (b) | Legal name of custodian: THE BANK OF NEW YORK MELLON | | | |
| (c) | Primary business name of custodian THE BANK OF NEW YORK MELLON | n: | | |
| (d) | The location of the custodian's office | e responsible for <i>custody</i> of th | ne <i>private fund</i> 's assets (city, s | tate and country): |
| | City: | State: | Country: | |
| | NEW YORK | New York | United States | |
| | | | | Yes No |
| (e) | Is the custodian a related person of | your firm? | | ○ ⊙ |
| (f) | If the custodian is a broker-dealer, | provide its SEC registration nu | umber (if any) | |
| | CRD Number (if any): | | | |
| rator | | | | Yes No |
| oes | the <i>private fund</i> use an administrator | r other than your firm? | | 6.0 |
| | • | , | elow. If the <i>private fund</i> uses m | ore than one administrator, you must |
| compl | lete questions (b) through (f) separa | ately for each administrator. | | |
| Addi | tional Administrator Information : | 1 Record(s) Filed. | | |
| | ne answer to 26(a) is "yes," respond nplete questions (b) through (f) sepa | | • | more than one administrator, you must |
| (b) | Name of the administrator: CITCO FUND SERVICES (BERMUDA) | LIMITED | | |
| | | | | |
| (c) | Location of administrator (city, state | e and country): | | |
| (c) | Location of administrator (city, state City: | e and country): State: | Country: | |
| (c) | | • | Country: Bermuda | |
| | City: | State: | • | Yes No ○ • |

| | | (e) Does the administrator prepare and send investor account statements to the private fund's investors? | |
|----------|------------------|--|---------|
| | | © Yes (配置면 10.15山內南西伯) 4150-164 (Kovi 100 也 阿里帕也3·21 li li平静 | |
| | | (f) If the answer to 26(e) is "no" or "some," who sends the investor account statements to the (rest of the) private fund's investors? If investor account statements are not sent to the (rest of the) private fund's investors, respond "not applicable." | |
| | | | |
| 2 | your | ng your last fiscal year, what percentage of the <i>private fund</i> 's assets (by value) was valued by a <i>person</i> , such as an administrator, that is related person? | not |
| | relev | % ide only those assets where (i) such person carried out the valuation procedure established for that asset, if any, including obtaining any rant quotes, and (ii) the valuation used for purposes of investor subscriptions, redemptions or distributions, and fee calculations (including ations) was the valuation determined by such person. | |
| | anoc | attens) was the valuation determined by such person. | |
| <u>N</u> | <u>larketer</u> | _ | es No |
| 2 | 8. (a) [| | 0 0 |
| | 9 | You must answer "yes" whether the person acts as a placement agent, consultant, finder, introducer, municipal advisor or other solicitor, similar person. If the answer to 28(a) is "yes", respond to questions (b) through (g) below for each such marketer the <i>private fund</i> uses. I private fund uses more than one marketer you must complete questions (b) through (g) separately for each marketer. | |
| | | No Information Filed | |
| | | | |
| | | | |
| | | | |
| SEC | TION 7 | .B.(2) Private Fund Reporting | |
| 1. | Name | of the <i>private fund</i> : | |
| | LYXOR | TREMBLANT LONG SHORT EQUITY FUND LIMITED | |
| 2. | Drivata | e fund identification number: | |
| ۷. | | de the "805-" prefix also) | |
| | 805-3 | 609514558 | |
| | | | |
| | | | |
| 3. | Name | and SEC File number of adviser that provides information about this <i>private fund</i> in Section 7.B.(1) of Schedule D of its Form ADV filing | |
| | Name: | | |
| | | R ASSET MANAGEMENT Ille Number: | |
| | 802 - | | |
| | | | Yes No |
| 4. | Are yo | our clients solicited to invest in this private fund? | 0 0 |
| | or moi invest | swering this question, disregard feeder funds' investment in a master fund. For purposes of this question, in a master-feeder arrangement re funds ("feeder funds") invest all or substantially all of their assets in a single fund ("master fund"). A fund would also be a "feeder funding in a "master fund" for purposes of this question if it issued multiple classes (or series) of shares or interests, and each class (or series substantially all of its assets in a single master fund. | " |
| | | | |
| | • | | |
| | | icipation or Interest in <i>Client</i> Transactions | |
| | | n, we request information about your participation and interest in your <i>clients</i> ' transactions. This information identifies additional areas in value interest may occur between you and your <i>clients</i> . | vhich |
| ₋ik∈ | e Item 7 | , Item 8 requires you to provide information about you and your related persons, including foreign affiliates. | |
| Pro | - | y Interest in <i>Client</i> Transactions | |
| A. | - | or any related person: | Yes No |
| | (1) bl | ly securities for yourself from advisory <i>clients</i> , or sell securities you own to advisory <i>clients</i> (principal transactions)? | \circ |

(2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory clients?

(ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?

(3) recommend securities (or other investment products) to advisory clients in which you or any related person has some other proprietary

 \odot \circ

| | es Interest in Client Transactions Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 68 of 74 | Yes | No |
|-----|--|---------|----|
| | (1) as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from the brokerage customer (agency cross transactions)? | | • |
| | (2) recommend purchase of securities to advisory <i>clients</i> for which you or any <i>related person</i> serves as underwriter, general or managing | • | 0 |
| | partner, or purchaser representative? (3) recommend purchase or sale of securities to advisory <i>clients</i> for which you or any <i>related person</i> has any other sales interest (other than | 0 | • |
| | the receipt of sales commissions as a broker or registered representative of a broker-dealer)? | | |
| Inv | vestment or Brokerage Discretion | | |
| C. | Do you or any related person have discretionary authority to determine the: | Yes | No |
| | (1) securities to be bought or sold for a <i>client's</i> account? | ⊚ | 0 |
| | (2) amount of securities to be bought or sold for a <i>client's</i> account? | ⊚ | 0 |
| | (3) broker or dealer to be used for a purchase or sale of securities for a <i>client's</i> account? | ⊚ | 0 |
| | (4) commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions? | ⊚ | О |
| D. | If you answer "yes" to C.(3) above, are any of the brokers or dealers related persons? | 0 | • |
| Ε. | Do you or any related person recommend brokers or dealers to clients? | 0 | • |
| F. | If you answer "yes" to E above, are any of the brokers or dealers related persons? | 0 | 0 |
| G. | (1) Do you or any <i>related person</i> receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions? | • | 0 |
| | (2) If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934? | • | O |
| H. | Do you or any related person, directly or indirectly, compensate any person for client referrals? | 0 | • |
| Ι. | Do you or any <i>related person</i> , directly or indirectly, receive compensation from any <i>person</i> for <i>client</i> referrals? | 0 | • |
| | referrals. | | |
| ter | n 9 Custody | | |
| | his Item, we ask you whether you or a related person has custody of client (other than clients that are investment companies registered under the estment Company Act of 1940) assets and about your custodial practices. | ne | |
| Α. | (1) Do you have <i>custody</i> of any advisory <i>clients'</i> : | Yes | No |
| | (a) cash or bank accounts? | 0 | ⊚ |
| | (b) securities? | 0 | • |
| | If you are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advised directly from your clients' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but overcome the presumption that you are not operationally independent (pursuant to Advisers Act rule 206(4)-(2)(d)(5)) from the related person. | - | |
| | (2) If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for you have <i>custody</i> : | · which | 1 |
| | U.S. Dollar Amount Total Number of <i>Clients</i> | | |
| | (a) \$ (b) | | |
| | If you are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accour include the amount of those assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client ass connection with advisory services you provide to clients, do not include the amount of those assets and number of those clients in your response to Item 9.B.(2). | sets in | |
| В. | (1) In connection with advisory services you provide to <i>clients</i> , do any of your <i>related persons</i> have <i>custody</i> of any of your advisory <i>clients</i> : | Yes | Nc |
| | (a) cash or bank accounts? | • | 0 |
| | (b) securities? | • | O |
| | | | |

You are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).

| Item In t If y and on A. B. | d executive officers. Schedule B asks for information either Schedule A or Schedule B (or both) that you Does any <i>person</i> not named in Item 1.A. or Schedule If yes, complete Section 10.A. of Schedule D. | ou must complete Schedule A and Schedule B. Schedule A asks for information about your direct about your indirect owners. If this is an amendment and you are updating information you refiled with your initial application or report, you must complete Schedule C. ules A, B, or C, directly or indirectly, <i>control</i> your management or policies? Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Sections 10.A. | Yes No |
|-----------------------------|---|--|-------------|
| Item In t If y and on A. B. | m 10 Control Persons This Item, we ask you to identify every person that, you are submitting an initial application or report, you are submitting an initial application or report, you dexecutive officers. Schedule B asks for information either Schedule A or Schedule B (or both) that you Does any person not named in Item 1.A. or Schedule If yes, complete Section 10.A. of Schedule D. If any person named in Schedules A, B, or C or in Section 10. | directly or indirectly, <i>controls</i> you. Du must complete Schedule A and Schedule B. Schedule A asks for information about your direct about your indirect owners. If this is an amendment and you are updating information you refiled with your initial application or report, you must complete Schedule C. Ules A, B, or C, directly or indirectly, <i>control</i> your management or policies? Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Sections. | Yes No |
| Item In t If y and on A | this Item, we ask you to identify every <i>person</i> that, you are submitting an initial application or report, you are submitting an initial application or report, you are submitting an initial application or report, you dexecutive officers. Schedule B asks for information either Schedule A or Schedule B (or both) that you boes any <i>person</i> not named in Item 1.A. or Schedule If yes, complete Section 10.A. of Schedule D. If any <i>person</i> named in Schedules A, B, or C or in Schedu | directly or indirectly, <i>controls</i> you. Du must complete Schedule A and Schedule B. Schedule A asks for information about your direct about your indirect owners. If this is an amendment and you are updating information you refiled with your initial application or report, you must complete Schedule C. Ules A, B, or C, directly or indirectly, <i>control</i> your management or policies? Section 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Sections. | Yes No |
| Item In t If y and | m 10 Control Persons This Item, we ask you to identify every person that, you are submitting an initial application or report, you executive officers. Schedule B asks for information either Schedule A or Schedule B (or both) that you Does any person not named in Item 1.A. or Schedule A or Schedule Item 1.A. or Schedule Item 1.A. | directly or indirectly, <i>controls</i> you. bu must complete Schedule A and Schedule B. Schedule A asks for information about your direct about your indirect owners. If this is an amendment and you are updating information you refiled with your initial application or report, you must complete Schedule C. | Yes No |
| Item In t If y and | m 10 Control Persons This Item, we ask you to identify every person that, you are submitting an initial application or report, you are submitting an initial application or report, you dexecutive officers. Schedule B asks for information either Schedule A or Schedule B (or both) that you | directly or indirectly, <i>controls</i> you. bu must complete Schedule A and Schedule B. Schedule A asks for information about your direct about your indirect owners. If this is an amendment and you are updating information you refiled with your initial application or report, you must complete Schedule C. | Yes No |
| Iten In t If y and | n 10 Control Persons This Item, we ask you to identify every <i>person</i> that, you are submitting an initial application or report, you are submitting an initial application or report, you describe the second to th | directly or indirectly, <i>controls</i> you. Du must complete Schedule A and Schedule B. Schedule A asks for information about your direct about your direct owners. If this is an amendment and you are updating information you re | eported |
| Iten | n 10 Control Persons | | |
| | | No Information Filed | |
| SEC | TION 9.C. Independent Public Accountant | No Information Filed | |
| | | | |
| | | | |
| F. | If you or your <i>related persons</i> have <i>custody</i> of <i>clier</i> as qualified custodians for your <i>clients</i> in connecting | nt funds or securities, how many persons, including, but not limited to, you and your <i>related pe</i> on with advisory services you provide to <i>clients?</i> | ersons, act |
| E. | | and you were subject to a surprise examination by an <i>independent public accountant</i> during yo nation commenced: | ur last |
| | | rsons that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule of Schedule D, regardless of whether you have determined the related person to be operationally inc | dependent |
| | (1) you act as a qualified custodian(2) your <i>related person(s)</i> act as qualified custodi | ian(s) | 0 0 0 0 |
| D. | | ustodians for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ? | Yes No |
| | • | ection 9.C. of Schedule D the accountants that are engaged to perform the audit or examination or (2), you do not have to list auditor information in Section 9.C. of Schedule D if you already provide dvise in Section 7.B.(1) of Schedule D). | |
| | , , | annual surprise examination of <i>client</i> funds and securities. internal control report with respect to custodial services when you or your <i>related persons</i> securities. | |
| | • | ments at least quarterly to the investors in the pooled investment vehicle(s) you manage. ally the pooled investment vehicle(s) that you manage and the audited financial statements | ₽ |
| C. | | nt funds or securities in connection with advisory services you provide to <i>clients</i> , check all the | following |
| _ | (a) \$ 2,500,603,106 | Total Number of <i>Clients</i> (b) 8 | |
| | U.S. Dollar Amount | 7-LAK Document 3-21 Filed 12/23/15 Page 69 of 74 | |

Item 11 Disclosure Information

In this Item, we ask for incase of incase of incase of incase of incase of incompanion to determine whether to grant your application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below.

Your *advisory affiliates* are: (1) all of your current *employees* (other than *employees* performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any *person* performing similar functions); and (3) all *persons* directly or indirectly *controlling* you or *controlled* by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your *advisory affiliates* are.

If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed.

| You | must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11. | | |
|-----|---|---------|---------|
| | | Yes | No |
| Do | any of the events below involve you or any of your supervised persons? | 0 | ⊚ |
| For | "yes" answers to the following questions, complete a Criminal Action DRP: | | |
| A. | In the past ten years, have you or any advisory affiliate: | Yes | No |
| | (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony? | \circ | ⊚ |
| | (2) been charged with any felony? | 0 | • |
| | If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) charges that are currently pending. | to | |
| В. | In the past ten years, have you or any advisory affiliate: | | |
| | (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a <i>misdemeanor</i> involving: investments or an <i>investment-related</i> business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? | 0 | • |
| | (2) been <i>charged</i> with a <i>misdemeanor</i> listed in Item 11.B.(1)? | 0 | • |
| | | 0 | • |
| | If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) charges that are currently pending. | to | |
| For | "yes" answers to the following questions, complete a Regulatory Action DRP: | | |
| C. | Has the SEC or the Commodity Futures Trading Commission (CFTC) ever: | Yes | No |
| | (1) found you or any advisory affiliate to have made a false statement or omission? | 0 | \odot |
| | (2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes? | 0 | • |
| | (3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? | 0 | • |
| | (4) entered an order against you or any advisory affiliate in connection with investment-related activity? | 0 | • |
| | (5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity? | 0 | • |
| D. | Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority: | | |
| | (1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical? | 0 | • |
| | (2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes? | 0 | • |
| | (3) ever <i>found</i> you or any <i>advisory affiliate</i> to have been a cause of an <i>investment-related</i> business having its authorization to do business denied, suspended, revoked, or restricted? | 0 | • |
| | (4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity? | 0 | • |
| | (5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity? | 0 | • |
| E. | Has any self-regulatory organization or commodities exchange ever: | | |
| | (1) found you or any advisory affiliate to have made a false statement or omission? | 0 | • |
| | (2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)? | 0 | • |
| | (3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? | 0 | • |
| | (4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities? | 0 | • |
| F. | Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or | 0 | • |

| | suspended? | | |
|------|---|---------|---------|
| G. | Case 1:15-mc-00417-LAK Document 3-21 Filed 12/23/15 Page 71 of 74 Are you or any <i>advisory affiliate</i> now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.? | 0 | • |
| For | "yes" answers to the following questions, complete a Civil Judicial Action DRP: | | |
| Н. | (1) Has any domestic or foreign court: | Yes | No |
| | (a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity? | \circ | • |
| | (b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations? | 0 | • |
| | (c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory authority? | 0 | • |
| | (2) Are you or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)? | 0 | • |
| Tto | m 12 Small Businesses | | |
| | | n.o. | |
| | e SEC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine the ryou meet the definition of "small business" or "small organization" under rule 0-7. | ile | |
| unc | swer this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F.(2)(c) that you have regulatory after management of less than \$25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, am rent state registration, or switching from SEC to state registration. | | |
| For | purposes of this Item 12 only: | | |
| | • Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of <i>clients</i> . In determining your or another <i>person's</i> t assets, you may use the total assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger). | iotal | |
| | • Control means the power to direct or cause the direction of the management or policies of a person, whether through ownership of securities, contract, or otherwise. Any person that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 2 or more of the profits, of another person is presumed to control the other person. | - | cent |
| | | Yes | No |
| A. | Did you have total assets of \$5 million or more on the last day of your most recent fiscal year? | 0 | \circ |
| If ' | yes," you do not need to answer Items 12.B. and 12.C. | | |
| | | | |

| | | | Yes | No |
|----|------|---|-----|----|
| A. | Dic | I you have total assets of \$5 million or more on the last day of your most recent fiscal year? | 0 | 0 |
| If | yes, | you do not need to answer Items 12.B. and 12.C. | | |
| B. | Do | you: | | |
| | (1) | control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year? | 0 | 0 |
| | (2) | control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year? | 0 | 0 |
| C. | Are | e you: | | |
| | (1) | controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year? | 0 | 0 |
| | (2) | controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year? | 0 | 0 |

Schedule A

security.

Direct Owners and Executive Officers

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:
 - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
 - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);

 Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the
 - (c) if you are organized as a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;
 - (d) in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
 - (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.

- 4. In the DE/FE/I column Gasce 1:150 mc 100417 LAK me DOCHMONE 3 21 own illed 12/23/115 rpo age 72 molecula a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: NA less than 5%
- B 10% but less than 25% D 50% but less than 75%
- A 5% but less than 10% C 25% but less than 50% E 75% or more
- 7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
 - (c) Complete each column.

| FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name) | DE/FE/I | Status | Date Status Acquired MM/YYYY | | Control Person | | CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No. |
|--|---------|--|------------------------------------|----|-------------------|---|---|
| TREMBLANT CAPITAL LLC | DE | GENERAL PARTNER | 03/2001 | NA | Υ | N | 13-4164480 |
| BARAKETT, BRETT, EDWARD BRUCE | I | LIMITED PARTNER AND CHAIRMAN/CHIEF EXECUTIVE OFFICER | 03/2001 | E | Υ | N | 2776543 |
| ECKERT, JAMES, PETER | I | CHIEF OPERATING OFFICER AND CHIEF COMPLIANCE OFFICER | 05/2001 | NA | Υ | N | 3041361 |
| DODANI, AMRITA, NMN | I | CHIEF FINANCIAL OFFICER | 01/2010 | NA | Υ | N | 5800965 |

Schedule B

Indirect Owners

- 1. Complete Schedule B only if you are submitting an initial application. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
 - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
- 5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: C 25% but less than 50% E 75% or more
 - D 50% but less than 75% $\,$ F Other (general partner, trustee, or elected manager)
- 7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
 - (c) Complete each column.

| FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name) | | Entity in Which Interest is Owned | | | | Control Person | | CRD No. If None: S.S. No. and Date of Birth, IRS Tax No. or Employer ID No. |
|--|---|---|----------|---------|---|-------------------|---|---|
| BARAKETT, BRETT, EDWARD BRUCE | I | TREMBLANT | MANAGING | 03/2001 | E | Υ | N | 2776543 |
| | | CAPITAL LLC | MEMBER | | | | | |

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

TREMBLANT CAPITAL GROUP AND ITS RELYING ADVISER ARE TOGETHER FILING A SINGLE FORM ADV IN RELIANCE ON THE POSITION EXPRESSED IN THE AMERICAN BAR ASSOCIATION, BUSINESS LAW SECTION, SEC NO-ACTION LETTER (JANUARY 18, 2012). THE RELYING ADVISER IS IDENTIFIED ON A SEPARATE SECTION 1.B, SCHEDULE D, OF FORM ADV PART 1A. NOTWITHSTANDING THE ADVISER'S RESPONSES TO QUESTION 12 IN SECTION 7.B(1), SCHEDULE D, THE ADVISER MAY WAIVE ANY MINIMUM INVESTMENT COMMITMENT REQUIRED OF AN INVESTOR IN ANY OF THE PRIVATE FUNDS INCLUDED IN THIS FORM ADV.

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

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CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

DRP Pages

Part 2

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to *all* of your advisory clients, you do not have to prepare a brochure.

Yes No

Are you exempt from delivering a brochure to all of your clients under these rules?

റ ഉ

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your *principal office and place of business* and any other state in which you are submitting a *notice filing*, as your agents to receive service, and agree that such *persons* may accept service on your behalf, of any notice, subpoena, summons, *order* instituting *proceedings*, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding*, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your *principal office and place of business* or of any state in which you are submitting a *notice filing*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY

JAMES ECKERT 10/16/2015

Printed Name: Title:

JAMES ECKERT CHIEF OPERATING OFFICER AND CHIEF COMPLIANCE OFFICER

Adviser CRD Number:

138743

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

1. Appointment of Agentise 1:15:496-1004187-LAK Document 3-21 Filed 12/23/15 Page 74 of 74

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, proceeding or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is founded, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a notice filing.

2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY

Printed Name: Title:

Adviser CRD Number:

138743